DOCUMENT RESUME

ED 379 756 EA 026 499

AUTHOR	Russell, Wendy R.
TITLE	Preparing Collaborative Leaders: A Facilitator's Guide. Resources and Materials.
INSTITUTION	Institute for Educational Leadership, Washington, D.C.
REPORT NO	ISBN-0-937846-47-3
PUB DATE	Sep 94
NOTE	564p.
AVAILABLE FROM	Institute for Educational Leadership, Inc., 1001 Connecticue Avenue, N.W., Suite 310, Washington, DC 20036.
PUB TYPE	Guides - Non-Classroom Use (055)
EDRS PRICE	MF02 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS	*Collegiality; *Educational Cooperation; Elementary Secondary Education; Interprofessional Relationship; *Leadership; *Leadership Training; *Management Development; Organizational Climate; Organizational Communication

ABSTRACT

This facilitator's guide offers tools for training leaders to solve problems in new and collaborative ways. It distinguishes between having knowledge about a subject and being able to use that knowledge effectively. The guide offers 15 units designed to meet the following objectives: (1) draw on each participant's work experience; (2) engage learners through a variety of training approaches; (3) build on group process and team-development skills; and (4) use current research and resources on collaboration and leadership. Part 1 outlines the first four meetings of a 12-month program. Its goals are: becoming acquainted with the program, team members, and collaboration basics; establishing learning goals; and planning a community needs and resources map. Part 2 emphasizes the twin targets of the program--leadership training and collaborative skills. Theory and activities are presented for learning the following skills: connecting with people, envisioning change, conducting a leadership retreat, managing conflict, building cross-cultural awareness, building teams, leading change, understanding power and politics, and examining organizational cultures. The third part shows participants how to use their newly acquired skills and apply them in a collaborative initiative. It targets the "nuts and bolts" of building and maintaining a collaborative effort, such as planning for program implementation, financing collaboratives, and selling change. (Contains 177 references.) (LMI)

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PREPARING COLLABORATIVE LEADERS

A Facilitator's Guide

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Revised Edition, September 1994.

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The journey is as important as the destination. -- M. Scott Peck

In producing this handbook, we embraced the path to a collaborative vision found in *Together We Can.*[1] The process took a long time, was tedious work that required revisiting issues thought to be resolved earlier, necessitated connecting with diverse stakeholders (each with different lessons of experience to share), and required the support of multiple funding streams.

The final product, while incorporating the initial vision, looks different from the first modules developed. By engaging diverse stakeholders, we learned a great deal along the way; in equal doses -- what to do and what not to do. By remaining open to new understandings and new information, we relearned the importance of patience and perseverance.

Support from the Danforth and Charles Stewart Mott Foundations kept the seeds of our early ideas alive. But, it was the support from the DeWitt Wallace-Reader's Digest Fund that enabled IEL to turn its ideas for a training resource into this reality: *Preparing Collaborative Leaders -- A Facilitator's Guide.* Other support from colleagues in the foundation world and from the U.S. Departments of Education and Health and Human Services permitted IEL to apply its knowledge about and expertise in leadership development in the ever-necessary and expanding realm of collaborative leadership.

We are grateful to IEL's field-based associates in the Collaborative Leadership Development Program, the Collaborative Leaders Program, the Community Education Leaders Program, and the Education Policy Fellowship Program for their help with this undertaking. We also want to offer special thanks and appreciation to all IEL staff for their suggestions and ideas, and on-the-spot support. Their combined efforts contributed to this final product.

Finally, we want to recognize all members in IEL's extended network of professionals. They do the work -- supporting and training collaborative leaders in communities, schools, and service agencies. Their daily efforts and lessons help us all move forward.

Wendy R. Russell
Principal Author

Elizabeth L. Hale
Vice President

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[1] Melaville, Atelia and Martin J. Blank, *Together We Can: A Guide for Crafting a Profamily System of Education and Human Services*, U.S.Departments of Education and Health and Human Services, Washington, D.C. April 1993.

ACKNOWLEDGMENTS

THE INSTITUTE FOR EDUCATIONAL LEADERSHIP

IEL's mission is to improve educational results and opportunities for children and youth by developing and supporting leaders who work together. We emphasize collaboration because we believe that traditional approaches to educational and human/health services are not working well; and we examine governance issues because we believe that the rules by which schools are currently managed are not conducive to long-term, system change. We believe that there should be an independent, non-membership, non-partisan organization whose chief goal is to bridge the bureaucratic and philosophical walls that impede the delivery of effective education and human/health services to our nation's children.

As an independent, non-partisan, non-membership organization with networks in every state, IEL moves quickly to tackle controversial and cross-cutting issues, to turn research into action, and to bring many of its model programs and projects to scale. IEL uses an array of strategies to address and promote issues: research and evaluation, convening disparate groups and developing networks, facilitating and training and developing and disseminating materials.

IEL's areas of expertise include:

Preparing a strong and diverse cadre of leaders...

Through its year-long Education Policy Fellowship Program, IEL trains professionals in education and other fields to become leaders in influencing education policy in public, private and non-profit sectors. The Collaborative Leaders Program works at the local level to help leaders across agencies, sectors and disciplines to solve problems. IEL also co-sponsors Superintendents Prepared, a program that trains promising leaders to become effective urban school superintendents. Nationwide there are more than 3,800 graduates of IEL's leadership programs.

Building coherent and comprehensive services for children and families...

IEL's Policy Exchange holds seminars and briefings for senior Congressional and Executive Branch staff, develops materials and sponsors state activities. National Health/Education Consortium (NHEC) promotes closer integration among health and education policymakers and services, utilizing a network of 12 million members from 58 national health and education professional membership associations.

Reforming public school governance...

IEL recently published *Governing Public Schools: New Times, New Requirements*, which outlines how local school boards must change. A subsequent publication, *A Framework for Redefining the Role and Responsibilities of Local School Boards* has stimulated and informed state-level policy reform of local school boards. Next steps include working with local communities to develop governance systems that more effectively address the multiple needs of children.

Helping Leaders Do a More Effective Job...

IEL's Center for Workforce Development investigated strategies to strengthen linkages among schools, workplace learning sites and post-secondary institutions; completed the report *Skill Standards in the U.S. and Abroad* for the U.S. Department of Education; and is continuing to work on skill standards for the federal government through a technical assistance effort on behalf of the government's skill standards demonstration projects.

The Center for Demographic Policy analyzes then disseminates reports and a quarterly newsletter on the demographic realities influencing our nation's school systems and communities. CDP has completed more than two dozen demographic analyses of states and metropolitan areas.

PREFACE

"Child and family-serving institutions must work together to change fundamentally the way they think, behave, and use their resources. The entire system must change." -- Together We Can

This Facilitator's Guide for Training Collaborative Leaders offers support for the training and development of leaders who are willing to learn new approaches, and understand the culture of other agencies. The goal is to prepare leaders who are open to thinking about and solving problems in new and collaborative ways.

The Guide gives Facilitators the tools needed to help participants emerge as collaborative leaders. The activities and exercises in the Guide tap prior knowledge first, then challenge (and perhaps replace) team members'* views and operating assumptions. It further encourages participants to examine opportunities for change within their own organizations.

The key, throughout, is to remember that it is one thing to *know* about a topic, quite another to *use* that knowledge effectively. Too often people want to "do something" before they have the right skills and background. While "trial by fire" is one way to learn, we find that a skilled and thoughtful collaborative leader works with others for true systems change -- changing the system to deliver better services to children and families.

This Guide offers 15 units designed to meet the following objectives:

- draw on each participant's rich work experience;
- engage learners through a variety of training approaches;
- build on group process and team development skills; and
- use current research and resources on collaboration and leadership.

To achieve all this, the Guide is subdivided into three parts. This reflects experience gained through work on collaboration in a variety of settings, and the Institute's background in leadership training.

PART I: GETTING TOGETHER outlines the first four meetings of a 12-month program. These meetings are carefully designed to accomplish the following:

- provide a thorough introduction to the program and its goals;
- bring participants together on common ground;
- establish collaboration concepts;
- create awareness of the need to change;
- provide data on the community and its needs.

*** "Team members" is used throughout the Guide to refer to the participants.**

PART II: MASTERING THE ESSENTIALS emphasizes the twin targets of the program: leadership training and collaboration skills. Skill units here include ideas and activities addressing both goals. (Please note that units marked with a diamond (♦) may be used at any point in the program.) Homework and readings between meetings provide continuity and reflective time.

The skill units in this part include the following:

- Connecting with People
- Envisioning Change
- Leadership Up Close and Personal -- A Retreat
- Managing Conflict
- Building Cultural Awareness
- Team Building
- Leading Change
- Power and Politics
- Organizational Culture

PART III: BUILDING CHANGE is about using the newly acquired skills and applying them in a collaborative initiative. This third part also targets the "nuts and bolts" of building and maintaining a collaborative. We recommend these sessions be programmed at the end of the 12-month period when the team has a specific collaborative effort in mind.

This part focuses on these vital elements:

- Implementation Planning
- Financing Collaboratives
- Selling Change

Please remember, finally, that just as collaboration is a process, so is any training for it. We urge you to collaborate with us, to share your own comments, recommendations, as well as materials and resources you use. Included at the end of each unit is a short comment form. Please send this to IEL.

Wendy Russell

The Collaborative Leaders Program (CLP) engages participants in training and development activities designed to build collaborative leadership skills. During the 12-month program, participants meet once a month for a full day (at a minimum), attend a mid-program retreat focused on leadership skills, and complete homework assignments which provide continuity between sessions.

This Facilitator's Guide outlines the topics attendant to preparing collaborative leaders. The first four meetings (Part I: Getting Together) are carefully structured. This ensures that participants are thoroughly introduced to the program's goals and methodologies.

Part II: Mastering the Essentials of the Facilitator's Guide then offers 8 topical skill units and a retreat from which program facilitators and participants can choose to develop "a menu" that fits their leadership development needs. The units and activities marked by a "diamond" (♦) can be chosen and used at any point during the program. Part III: Building Change provides resources to address the technical aspects of building collaborative initiatives to solve community problems.

FACILITATOR'S TIPS, TOOLS & TECHNIQUES

PART I: GETTING TOGETHER

Session One: Introduction

Goal:

- To become acquainted with the Collaborative Leaders Program, team members and collaboration basics.

Session Two: Charting the Course

Goal:

- To establish through a consensus process individual and group learning goals for the Collaborative Leaders Program.

Sessions Three & Four: Community Assessment

Goal:

- To answer three questions: What business are we in? Who, really, are our stakeholders? What resources are available?

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PART II: MASTERING THE ESSENTIALS

- **Connecting with People**

  Goal:

  - To develop skills needed for communicating in collaborative environments: listening, networking, managing meetings.

- **Envisioning Change**

  Goal:

  - To create a shared vision.

- **Leadership Up Close and Personal -- A Retreat**

  Goal:

  - To strengthen individual and collaborative leadership skills.

- **Managing Conflict**

  Goal:

  - To explore the dimensions of conflict and learn skills to better manage conflict through negotiation & mediation.

- **Building Cross-Cultural Awareness**

  Goal:

  - To develop cross-cultural awareness skills for working constructively in the diverse environments of collaboratives.

- **Team Building**

  Goal:

  - To understand and use team development concepts.

- **Leading Change**

  Goal:

  - To build the capacity to lead change.

- **Power and Politics**

  Goal:

  - To understand the relationship and impact of power and politics in collaborative ventures.

- **Organizational Culture**

  Goal:

  - To examine the culture of organizations.

PART III: BUILDING CHANGE

- **Implementation Planning**

  Goal:

  - To think through the concepts required to implement collaborative initiatives.

- **Financing Collaboratives**

  Goal:

  - To examine funding streams (systems and categories) that will support collaborative initiatives.

- **Selling Change**

  Goal:

  - To persuade others to buy into the collaborative building process.

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FACILITATOR'S TIPS, TOOLS & TECHNIQUES

You can observe an awful lot just by watching. - *Yogi Berra*

FACILITATOR'S NOTES

This chapter is for you, the facilitator. We recommend you read it often to be reminded of the helpful tips, tools and techniques useful for effective facilitation. Share it with team members as well and have them plan and facilitate parts or all of some sessions. Being a skilled facilitator is key to being an effective collaborative leader.

FACILITATIVE BEHAVIORS*

25% PREVENTION	**25% PROCESS AWARENESS**
◆Building agendas ◆Building detailed process roadmaps ◆Identifying strategies to handle issues and alligators ◆Thinking strategically	◆Knowing the difference between process and content ◆Recognizing strategic moments ◆Knowing what phase of problem solving a group is in ◆Being able to see and describe process
20% THEORY AND TECHNIQUE	**30% ACTUALLY DOING IT**
◆Understanding the conceptual roadmap of problem solving ◆Having a repertoire of process suggestions and tools available ◆Knowing how to introduce the process suggestions and tools ◆Understanding the roles, attitudes, tools, behaviors and the theory underlying them	◆Making process observations ◆Making process suggestions ◆Introducing tools ◆Implementing interventions ◆Getting agreements ◆Facilitating nonverbally ◆Remaining neutral

*Source: How To Make Meetings Work

The illiterate of the year 2000 will not be the individual who cannot read or write but the one who cannot learn, unlearn and re-learn. -- Alvin Toffler

A PROFILE OF ADULT LEARNERS

1. Self-directed
2. Problem-oriented
3. Active participants in training
4. Open to a variety of learning experiences
5. Clear about program expectations
6. Want feedback about use of new skills
7. Value information that relates to their own experience
   [Glen Ramsborg, Convene]

FACILITATING ADULT LEARNING

Facilitating learning -- helping adults make sense of the personal, social, occupational, and political environment in which they live -- is an exhilarating and profound activity, for facilitators and for learners.

It is also a highly complex psychosocial drama in which the personalities of the individuals involved, the context for learning, and the political climate crucially affect the nature of the outcome. But theorists and practitioners of adult learning often ignore this complexity.

Instead, a kind of folk wisdom has emerged in which the facilitator of adult learning is seen as a nondirective, warmly satisfying agent through which learner's needs are met. Usually ignored in such encounters is the fact that they might contain elements of conflicting purposes, contrasting personality styles, or challenges to learners to engage in an anxiety-producing re-examination of self or of previously unchallenged norms (organizational, behavioral, or moral). [Adapted from Understanding and Facilitating Adult Learning.]

Presenters should always be seeking to direct training energies to the levels that will produce the most growth.

At the lowest end are presentations that work to change or improve specific behaviors, followed by those aimed at altering capabilities, then those aimed at changing beliefs, and finally, at the highest level of intervention, those that change audience identity. [Robert Garmston, Presentations That Teach and Transform]

"OK, what's in the next chapter after 'Getting Their Attention'?"

10 FACILITATION SKILLS

Organizing:	Orient team members for empowerment and culture change
Benchmarking:	Visualize and establish challenging goals, then track performance
Mentoring:	Train, coach, and counsel team members to fill productive roles
Negotiating:	Resolve conflict at stages of team growth
Integrating:	Conduct effective sessions that get high participation and input
Documenting:	Maintain records of actions, decision, performance levels, standards
Problem Solving:	Identify and eliminate barriers to goal achievement
Decision Making:	Assess alternatives and select the best options
Reinforcing:	Recognize and respond appropriately to personal performance
Celebrating:	Publicize and reward group success

HALLMARKS OF EFFECTIVE TRAINING

Simple:	The content of the course should be simple. It should concentrate on what must be learned, as opposed to the should and might .
Practical:	The approach should be practical, focusing on the actions of leadership. There should be no abstractions or theory for its own sake.
Participation:	When people are talking they are thinking; they learn by doing and reviewing what they have done in light of the principles of leadership.
Variety:	Case studies, indoor and outdoor exercises, small group discussions, plenary sessions, lectures on key points, films or videos, and individual checklists all create variety. Keep them guessing about what is coming next.
Enjoyable:	The enjoyability of a course is important, because if it isn't enjoyable, adults will learn little. But if it's only enjoyable, that's tantamount to failure.
Relevant:	If neither the participants nor the trainer can see any relevance to the actual job of leading or managing that they are doing, or shortly will be doing, it's unlikely the course will be effective.
Short:	About two to three days is right for most leadership courses at all levels. Beyond that, the program is in danger of becoming repetitive or academic.

This list is not exhaustive. Good leadership training, for example, should also be *evaluated* and it should also be *reproducible* if you want managers to be leadership trainers. [From Developing Leaders, by John Adair.]

WHAT WE MEAN WHEN WE SAY . . .

Non-Formal/ Participatory Training: This type of training uses non-lecture training activities which emphasize problem solving. Individuals alone, or more often in small groups, learn something by doing it. The training is designed to place people in situations where they can relate, draw from their own collective experience, and solve problems or identify alternatives. This approach is active instead of passive in that the participants are involved from beginning to end.

The advantages to this approach:

- The participants become confident through *doing*.
- Participant's experience is recognized and validated.
- The participants gain experience in problem solving, decision making, and taking action.

ROTATING SESSION FACILITATORS

Facilitation is an extremely important role that everyone should experience. Consider rotating the role of facilitator for every session. Use an alphabetical list to set the order. This is a helpful practice because it allows everyone a chance to experience the role of facilitator.

Also rotate the role of recorder. It may identify some hidden biases. How many times have you seen men recording when there are women in the group?

Cooperative group participation and facilitation may be a new approach for some or all members. They must understand that you can't facilitate by yourself, but that successful meetings/sessions/workshop activities are the responsibility of all members through joint planning and facilitation. The activity becomes the joint responsibility of members and facilitators. [Adapted from Working Together.]

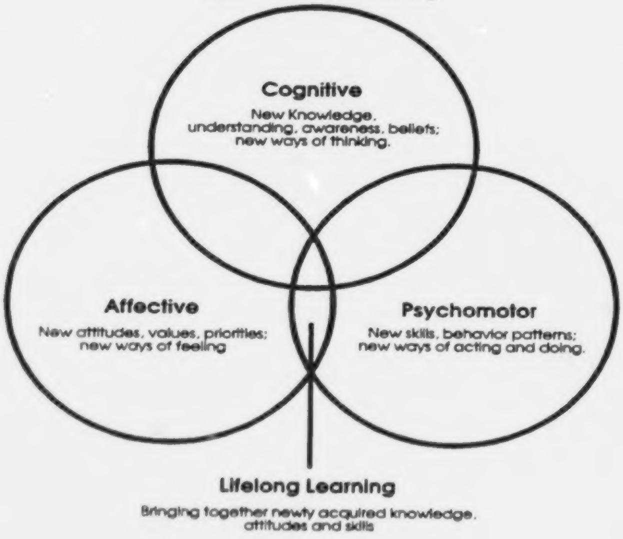
THREE STAGES OF EVALUATION

Program sponsors must be accountable for their programs; evaluation is the mechanism that makes this possible. Evaluation is an ongoing process and must be part of program design from beginning to end.

There are three kinds of evaluation: formative, summative and behavioral.

Formative:	Formative evaluation occurs both in the planning stages and while the activity is still in progress. It is internal in that the the program is assessed with the purpose of improving overall quality, from inception to completion.
Summative:	Summative evaluation refers to the feedback that takes place after the activity has concluded and represents the external perspectives. It measures whether outcomes were met, if presenters were effective and if learning occurred.
Behavioral:	Behavioral evaluation takes place weeks or months after the activity to ascertain what changes took place as a result of the experience. While it is probably the least-used form of evaluation, assessing learners' ability to integrate the knowledge, attitudes or skills into their everyday work is critical in measuring the cost/benefit return of leadership training programs. [From Glen Ramsborg, Convene]

Domains of Learning


Cognitive
New Knowledge, understanding, awareness, beliefs; new ways of thinking.
Affective
New attitudes, values, priorities; new ways of feeling
Psychomotor
New skills, behavior patterns; new ways of acting and doing.
Lifelong Learning
Bringing together newly acquired knowledge, attitudes and skills

EFFECTIVE FACILITATION TIPS

Continue to ask yourself: "How can I have a high level of exchange among the participants while diminishing my role as a leader?

- Encourage participants to express their ideas.
- Encourage participants to accept each other's ideas, experiences and feelings.
- Try not to talk too much. Let the participants do most of the talking.
- Be willing to share leadership and actually give over the leadership to the participants whenever you can and whenever they're ready to accept it.
- Evaluate OFTEN. Even a simple "what was most helpful, and what was least helpful" at the end of a session, or day, can be beneficial to all.
- Set time limits for small groups and encourage them to stick to the limits. This will help them to learn to accomplish goals within a time frame and to set priorities.
- Don't feel you must have all of the answers. Much is to be gained when the participants must work on problems and find their own alternatives or "solutions."
- Be prepared and well organized.
- Try to make the physical training environment as comfortable as possible. Is the training area well ventilated, reasonably clean? Is there adequate space for everyone?
- Remember that both the process, as well as the goal, are important. Are people enjoying themselves? Are they trying to deal with differences in a positive way? Are they changing? Growing? [Adapted from Navamaga]

COLLABORATIVE SKILLS, METHODS

It is absolutely necessary to practice collaborative skills and methods from the beginning. Facilitators should be the first models for skills and methodologies of collaboration. Facilitators should not make too many decisions too quickly or too autonomously. Avoid unilateral decision making from the outset. It should be a collaborative process.

Give participants responsibility for part of the documentation process. It creates an interaction between the facilitators and participants.

MIKE SHAPIRO

"I'd say thrill seekers, terrorists or another executive adventure training seminar."

Keep a running "alphabet soup" flip chart, and put together a group glossary.

Use "installment" case studies which run throughout different modules to help tie the topics and the process together. Have the participants build it themselves.

To get participant "buy in" early on, do an experiential "piece" (e.g. family interviews, provider frustrations, realistic case study). Document a compelling reason to collaborate.

Be careful of too much process. Sometimes there are small group/large group/small group activities which involve lots of distracting movement. Pick activities or design the day to have variety, but not acrobatics!

[Myra Coursey's Suggestions - IEL's Collaborative Leadership Development Program Facilitator in Fort Worth, Texas]

HINTS FOR TRAINING GUIDE USE

- Be aware of your group's needs and choose activities to meet them.
- Be sure you've worked through the exercise or agenda and that you have a good idea of how your group will handle it.
- Bring others in on what you're doing and check it out with them. People accept responsibility for a task when they are part of the planning.
- Keep the session or meeting focused on the topic at hand. Let people know that they've drifted, restate the task or subject.
- Don't overdo the number of activities. Choose one or combine some to make up your own, but don't expect your group to benefit by doing everything. Tailor exercises to fit the group and don't be afraid to change them.
- When presenting an exercise, activity or agenda to a group, be very sure that everything is spelled out for them. Be specific. Repeat it, write it down on newsprint or give them a handout. This is where most group activities break down -- when people don't clearly understand what they are supposed to do. Realize that if one person admits to not understanding something, there are others who are just as baffled but afraid to ask.
- Accept ideas from participants even if the ideas are incomplete. Ask if they or others can add to them.
- Try not to allow people to cut others off. Be assertive and ask the long-winded person to wrap up.
- Accept a member's feelings as well as the content of what he says. When someone is angry, acknowledge it so people can feel they're being heard.
- Summarize and clarify what members have contributed, especially those who don't seem to be very involved.
  [Adapted from Working Together]

HOW TO DEBRIEF A SIMULATION

The value of a simulation lies in the debriefing, when a facilitator can shape the impressions trainees gained from the exercise.

Here are some debriefing guidelines offered by Sivasailam "Thiagi" Thiagarajan, head of Workshops by Thiagi, in Bloomington, IN. He says there are five stages to debriefing, each represented by a question.

> Stage 1: "How do you feel?" During this stage, the facilitator asks participants about their impressions of the outcome or the process of the exercise. The purpose is to let them release their emotions so that a more objective, intellectual analysis can follow. For some participants in some simulations, this can be time-consuming.
>
> Stage 2: "What happened?" Revisiting the exercise objectively is the purpose of this stage. The facilitator is looking for an accurate account of what transpired. How did the team make decisions? Who was the dominant person? Sometimes it's helpful to videotape the exercise, since emotions can affect how things are remembered.
>
> Stage 3: "Do you agree?" Based on what was uncovered during the second stage, the facilitator and participants come up with a set of generalizations such as "Teams make better choices than individuals do" or "Women make fewer statements than men." Then it's time to discuss the particulars of the simulation again, to see if the hypotheses hold up.
>
> Stage 4: "Has this ever happened to you in the workplace?" This is the crucial moment that sets the stage for the learning to transfer to the job. The facilitator uses the principles of Stage 3 to probe the participants about whether they can apply any of the simulation's lessons to their work lives.
>
> Stage 5: "What if . . ." During this stage, the facilitator could change the parameters of the game. For instance, the facilitator could say, "What if one of your shipwrecked mates was a diabetic and was separated from his insulin? How would your decisions change?" This gives the facilitator a chance to examine the team's workings and to illustrate to them that when factors change, the group's actions may need to change as well.
> -- Beverly Gerber, A Special Report for **TRAINING**. April 1994

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PART I:
GETTING TOGETHER

BEST COPY AVAILABL

INTRODUCTION

Becoming acquainted with the Collaborative Leaders Program, team members, and collaboration basics.

BEST COPY AVAILABLE

People wanted to come together. They simply did not know how.-- Eva Schindler-Rainman

GOAL

To become acquainted with the Collaborative Leaders Program, team members and collaboration basics.

Participants will review a family-in-crisis scenario, a video and take part in guided discussions to highlight the value of collaboration in and across their workplace(s).

OVERVIEW OF CRITICAL EVENTS

☐ Team members introduce themselves by telling a success or failure story about their experiences with inter/intra-agency collaboration.

☐ Team members analyze a family-in-crisis scenario and debate the question: Why integrate social services?

☐ Based on the video, "Discovering the Future," participants examine how paradigms keep us, and the system, locked into a single vision, and how it feels when that vision is forced to change.

TODAY'S OBJECTIVES

☐ To meet the other participants (and their agencies).

☐ To identify basic concepts and themes of collaboration and the Collaborative Leaders Program.

☐ To explore the importance of collaboration as a strategy for linking education and human services systems.

☐ To develop a verifiable definition of collaboration.

☐ To identify factors which foster or hinder collaboration.

☐ To "twist the thinking cap" about the issues and systems that deliver services to children and families.

RESOURCES

- ☐ ** Blank, Martin and Atelia Melaville. What It Takes: Structuring Interagency Partnerships to Connect Children and Families to Comprehensive Service. Washington, D.C.: Education and Human Services Consortium, 1991. *
- ☐ ** Bridging the Gap: An Education Primer for Health Professionals and Bridging the Gap: A Health Care Primer for Education Professionals, National Health/Education Consortium, 1992.*
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**Assigned background reading before first meeting.
* Can be ordered from IEL (202-822-8405).

HOMEWORK

- ○ Complete reading assignments.
- ○ Think about the questions on page 38 of "What It Takes: Questions For Agencies." Work on your own, or use the questions to engage your colleagues at work in a discussion about your agency. You may not know all the answers at this point, but respond as best you can to the questions. If you feel you need more information, note what you need.

CRITICAL EVENTS

Introductions

Objectives:

- To acquaint team members (and their employing agencies) with one another.
- To highlight individual knowledge and experience about the concept of collaboration.
- To develop a verifiable definition of collaboration.

Activity:

❖ Quickly, team members tell the group their names, where they work and one word they would use to describe collaboration.

❖ Participants (in pairs) interview each other and prepare to introduce their partner to the group. Questions to partner:

-- What are your goals for the program?
-- Can you tell me about a collaborative effort with which you have been working?

Keep introductions brief forcing speakers to synthesize the information they collected. You (facilitator) write brief notations about the goals on one piece of newsprint and the success stories on another. (Explain that the goals will be used the second time they meet.)

❖ Once introductions are complete, provide participants with **definitions** of cooperation, coordination and collaboration. (p. 3, Collaboration: What Makes It Work)

To close, ask the team members to order the collaboration stories under each definition and provide an explanation for their choice.

Balloon Game

Objectives:

- To identify factors that foster or hinder collaboration.
- To have fun.

Activity:

❖ You will need a large open space and 2 large balloons. Have the group form a large circle while holding hands. Tell them they are not to let go of each other's hands at any time. Their goal is to keep the balloons from touching the floor.

Toss the 2 inflated balloons into the circle. If one balloon breaks or falls outside of the circle, have the group concentrate on the second balloon. If either balloon falls to the floor inside of the circle, you pick it up and toss it out again. Play for about 10 minutes, then reassemble and chart their responses to the following question:

-- How was this game similar to collaboration?

Wagner Family Scenario

Objectives:

- To explore the importance of collaboration as a strategy for linking education and social services systems.

Activity:

❖ Team members review the Wagner Family Scenario. (See Attach ment 1.2 for an alternative case study.)

In groups of 3 - 4, team members discuss the following 4 questions:

1. What are the problems this family is facing?
2. Can you identify the community services that are involved?
3. What problems are slipping through the cracks -- i.e., not being addressed by schools or social services?
4. What needs to be done differently to help this family?

- Back in a large group, the small groups report their conclusions. Facilitate any discussion among the groups and help the participants formulate a group response to question # 4.

- Once they have reached a consensus for question #4, ask them to respond to question #5.

    5. How would your agency respond/contribute to the approach we just developed?

  ○ Group process: Ask the participants to notice --

  -- Did a leader emerge in either their small groups and/or in the large group discussion?
  -- How did they know that person was leading?
  -- Could anybody else have done the same?

"Discovering the Future: The Business of Paradigms" Video

Objectives:

- To "twist the thinking cap" about the issues and systems that deliver services to children and families.

- To examine how paradigms keep us locked into a single vision, and how it feels when that vision is forced to change.

Activity:

- View the video, "Discovering the Future."

- Review the quartz watch story from the video. Ask the group to think about examples of something like that happening in their own work community -- an agency or individual who is blinded by how things are usually done and therefore can't see the potential of a new opportunity or new approach.

Give everyone a few minutes to think this over and write down a few examples, then discuss their examples.
Ask the group to consider these questions:

- What changes have you experienced in your professional tenure?
- What changes do you see coming down the pike?
- What are some of the paradigms that will need to change as a result?

Wrap-Up & Preparation

Objective:

- To review the day's learnings and prepare for the next meeting.

Activities:

- Ask the group discuss their reactions to the day. Possible questions:
  - Did they prefer one type of activity to another?
  - What did you learn? About collaboration? About CLP? About each other?
- Review the goals for the second meeting. Distribute the Guide Outline and Collaborative Leadership Questionnaire. Instruct the group to come to the next meeting prepared with their own menu of learning needs and interests.

  Distribute the Resources and Homework sheet for the next session.

FEEDBACK FORM

IEL needs your feedback on the Facilitator's Guide to keep us on the cutting edge of training collaborative leaders. Please take a few minutes to reflect on this unit, the team members' reactions, and your suggestions for any changes. Thank you for answering the questions below and returning the form with your day's agenda and list of resources used. **Please fax them to Wendy Russell at 202-872-4050**. THANK YOU!

1. Which activities were most effective? Why?

2. What would you do differently, if you repeated this unit? Why?

3. Which resources did team members find useful, relevant?
   Did you supply additional ones? If so, what?

4. What were the team's key learnings?

5. What were your key learnings?

6. Other comments or suggestions?

FACILITATOR'S GUIDE TO RESOURCES

The following can be ordered at volume discount from the publishers:

- ☐ Dimock, Hedley G. Groups: Leadership and Group Development. University Associates (800-274-4434).
- ☐ Gray, Barbara. Collaborating. Jossey-Bass Publishers, Inc.(415-433-1767)

The following monographs can be ordered from IEL at 202-822-8405:

- ☐ Blank, Martin and Atelia Melaville. What It Takes: Structuring Interagency Partnerships to Connect Children and Families to Comprehensive Service. Washington, DC: Education and Human Services Consortium, 1991. $3.00
- ☐ Bridging the Gap: A Health Care Primer for Education Professionals, National Health Education Consortium, 1992. $12.00

Together We Can can be ordered from the U.S. Department of Education by calling 202-219-2120. The publication is free.

Collaboration: What Makes It Work. St. Paul, MN: Amherst H. Wilder Foundation, 1992. To order call 1-800-274-6024. $11.95

Joel Barker. "Discovering The Future: The Business of Paradigms." Charthouse Learning Corporation, 1989. (800-328-3789)

ATTACHMENTS

1.1 Humorous Definition
1.2 Alternative Case Study

Collaboration is Like Teenage Sex

- Everyone is talking about it all the time.
- Everyone thinks everyone else is doing it.
- Those who are doing it are:
  - √ Doing it poorly.
  - √ Sure it will be better the next time.
  - √ Not practicing it safely.
- Everyone is bragging about their successes all the time, although few have truly experienced success.
- Done right it multiplies.

Attachment 1.1

An Alternative Case Study:
Sylvia White

Twelve-year old Sylvia White was reported missing to the police by her mother. Carol Miller, the staff social worker at an innovative neighborhood comprehensive services agency was present when the report was made. One goal of this organization, located in a disadvantaged neighborhood in a small city, was to try to head off crises before they escalated out of control. On the spot, Carol learned from the mother that Sylvia had been receiving help from a nearby mental health clinic on referral from her school.

With permission of Sylvia's mother, Carol visited the clinic's nurse and consulting psychiatrist. They indicated that at a recent clinic conference, which had included Sylvia's school psychologist and the school nurse, Sylvia had been confirmed with a diagnosis of childhood schizophrenia. Sylvia was described as erratic in her behavior, at times, uncommunicative for days at a time, and at other times angry and hostile to the point of violence and endangering others. On still other occasions she would seen to be a normal, happy 12 year old. The mood swings were unpredictable, extreme, and extended. Unless this diagnosis was modified, it was a virtual certainty that the clinic staff would recommend Sylvia's admission to the children's ward of a state hospital.

Carol then spoke with Sylvia's school teacher and youth worker at a nearby neighborhood center where Sylvia was involved in an after-school program. Here a different picture of Sylvia emerged, one of a child growing up in a single parent home in relative isolation with little support or guidance from adults and few resources. Her father had deserted the family when Sylvia was almost 4 years old. Mrs. White and her daughter had spent several weeks living on the streets shortly after her husband left, before they found public housing.

Mrs. White received AFDC and worked occasionally when she could find a job. She had no training and had to find unskilled work. The youth worker reported that Sylvia almost always went home from the after school program alone and as late as possible. He had tried to contact Sylvia's mother about meeting her at the end of the day, but she had no phone and never answered his letters. On one occasion Sylvia blurted out to the youth worker in anger that her mother seemed sad most of the time and couldn't get anything done. She just sat around and thought about her boyfriend. When he was around, her mother was different. She was happy. Sylvia wondered why her mother and her boyfriend could go out all the time, leaving her alone, but her mother never seemed to have enough money to buy Sylvia shoes or clothes or any of the things she saw on television. And she wondered why there wasn't much to eat in the house, especially the last few days of the month.

Sylvia had been an average student until her recent sporadic attendance caused her to fall behind. A mild speech disorder, for which she had been seeing the school speech therapist, had caused Sylvia some embarrassment among her friends. Her teacher reported that she thought Sylvia and her mother lived in a two room apartment on the top floor of an old tenement. She said that Sylvia ate well at school, but she wondered how she fared in the summer months and at other times during the day. A few times when Sylvia had brought her lunch from home it had consisted of a can of soda along with sweets and snacks.

Both the teacher and the youth worker felt Sylvia's behavior was only her natural adaptation to her circumstances, not a psychological disorder.

Sylvia had attended church as a child, but as peer influence increased, her church attendance decreased. The minister had made several efforts to incorporate her into the church youth group, but felt she received little support for the effort from Sylvia's mother. She visited their apartment, but usually Mrs. White wouldn't let her in, saying she was tired or busy or wanted to be alone.

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On one occasion, Mrs. White told the minister that Sylvia preferred the company of a teenage gang for whom she seemed to be the "Mascot." Mrs. White did not like this, but she was happy Sylvia had friends. Some times, though, Sylvia would be away from home with them for two or three days at time. Sylvia's mother said she was unable to make Sylvia stay at home or in school. She said she didn't like church because it just "made her sad." She would be happy, however, if Sylvia would become more involved in the youth activities of the church.

Sylvia's mother was especially anxious about this disappearance because she and her boyfriend were planning to get married soon. They had just come from the legal aid office where they had explored the possibility of her friend adopting Sylvia after the wedding. They would be a "family" and be able to provide more supervision for Sylvia. It had taken her a long time to convince her friend to go with her to legal aid. They had not talked about this with Sylvia. Sylvia had never been particularly friendly with Mrs. White's friend when he was around the apartment. The mother told Carol that her friend gave her things and spent time with her, and that made her feel good. He had lost his job a few weeks earlier, but she was sure he would find another one soon, and they could get married then.

DISCUSSION QUESTIONS

PROFESSIONAL GROUPS:

1. What issues or problems do you identify in this case from the perspective of your profession? What are the issues for Sylvia? For her mother?

2. Based on your professional perspective and knowledge, what action would you recommend to assist this family?

INTERPROFESSIONAL GROUPS - TREATMENT/CARE:

1. What problems and issues in this case would your interprofessional group identify?

2. How would your interprofessional group address the problems of Sylvia and her mother?

INTERPROFESSIONAL GROUPS - EDUCATION AND POLICY:

1. What issues does this case raise for professional and interprofessional education?

2. What are the public policy issues in this case?

3. How would your interprofessional group begin to address these policy issues?

Adapted From: The Third National Leadership Symposium on Interprofessional Education and Practice.

CHARTING THE COURSE

Establishing learning goals for the Collaborative Leaders Program.

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GOAL

To establish through a consensus process individual and group learning goals for the Collaborative Leaders Program.

Team members participate in question and answer sessions and in problem solving and consensus building exercises.

OVERVIEW OF CRITICAL EVENTS

- ☐ Team members discuss homework readings and share with the group their "light bulb" insights about collaboration.
- ☐ In paired interviews, team members exchange personal "learning menus" and learning styles.
- ☐ Team members learn effective steps for creating consensus through a group decision-making exercise.
- ☐ Using skills acquired in the previous exercise, team members use the data now available to outline future program content and activities.

TODAY'S OBJECTIVES

- ☐ To collect team members' insights about collaboration.
- ☐ To identify team members' learning needs, styles, interests and expectations for the program.
- ☐ To learn effective consensus-seeking behaviors in groups.
- ☐ To reach group consensus about program content and schedule.

RESOURCES

☐ Bruner, Charles. Thinking Collaboratively: Questions and Answers to Help Policy Makers Improve Children Services. Washington, DC: Education and Human Services Consortium, 1991.

☐ Dimock, Hedley G. *Chapter One, "Understanding Group Leadership,"* Groups: Leadership and Group Development. San Diego: University Associates, Inc. 1987.

☐ Edelman, Peter. Serving Children and Families Effectively: How the Past Can Help Chart the Future. Washington, DC: Education and Human Services Consortium, 1991.

☐ Gardner, Sid. "Failure By Fragmentation," California Tomorrow. Fall, 1989.

☐ Himmelman, Arthur. Communities Working Collaboratively For a Change. Minneapolis: The Himmelman Consulting Group, July 1992.

HOMEWORK

○ Complete reading assignments.

○ Develop your personal "learning needs menu" from the Facilitator's Guide Outline.

○ Complete the Collaborative Leadership Questionnaire.

FACILITATOR'S NOTES

This unit is designed to ferret out team members' learning needs, interests, and program expectations while learning consensus-seeking skills. Three activities/resources will be useful in achieving these outcomes.

The **Collaborative Leadership Questionnaire** (Attachment 2.1), a self-assessment instrument, asks team members to rate the skills needed to direct a collaborative, then assess their own skills. Note any discrepancies between the two scales and between what members list as their learning priorities.

The **Consensus-Seeking Exercise -- A Collection of Tasks** can be useful for practice or to get the group started. As an alternative, do not use the lists provided but concentrate on the group's information -- their learning styles, or qualities a director should have.

The **Learning Style Inventory** can provide very helpful feedback for both you, the Facilitator, and team members. Pass out the article after the inventory has been completed and scored. **How Adults Learn overhead/handout** (Attachment 2.4) may also be a useful discussion starter.

As team members develop their "learning needs menu," encourage them to consider not only their own needs and interests but those of their organizations.

CRITICAL EVENTS

Group Discussion

Objectives:

- To continue the "get acquainted" process.
- To collect participant's insights about collaboration.

Activity:

❖ The facilitator initiates a free-flowing group discussion about the homework. Possible questions to explore:

  -- What was the most interesting/least interesting of the assigned readings and why?

  -- Which reading was the most powerful? What message, emotion or insight "turned on a light bulb"?

  -- What was your most singular learning about collaboration?

  -- What was the most practical, useful skill or tool you learned about how to make collaboration effective?

○ Group Process: Ask the group to notice and discuss individual behavior. Who was quiet/talkative; who provided data vs. who analyzed the data?

Paired Interviews

Objective:

- To identify team members' learning needs and styles, interests, and expectations for the program.

Activity:

❖ In pairs, team members interview someone they do not know well. Answers to the following questions are noted on cards (without names) by the interviewer:

- -- What 4 topics are on your "learning menu?"
  Did you add to the topics listed on the original outline?
- -- What expectations do you have for the CLP program?
- -- How best do you learn? What is your learning style?
- -- What are your top 5 learning priorities?

❖ The cards are collected and the facilitator reads the cards; any participant for whom the card is descriptive stands up. Those standing make additional comments as the facilitator lists all major needs, expectations, and learning styles on newsprint, noting any duplications and any polarities.

Lunch

Objective:

- During an informal lunch, team members are encouraged to review and become familiar with the available team data on:
  - -- Learning needs and styles
  - -- Expectations
  - -- Program goals (generated at first meeting)
  - -- Skills or tools needed for effective collaboration (from morning discussion)

Consensus-Seeking Exercise

Objectives:

- To learn effective consensus-seeking behaviors in groups.

- To explore further the components of effective collaborative efforts.

Activity:

❖ Team members complete individual work sheets by rank ordering lists per instructions.

❖ Team members, working in small groups of 3-4, derive a group ranking of the individual lists using a consensus process.

❖ The groups debrief the processes that emerged during the consensus-seeking exercise. Possible questions to explore:

-- What behaviors helped seeking consensus?
-- What behaviors impeded the process?
-- What pattern of decision-making occurred?
-- Who were influential members? How did they show their influence?
-- How did the group discover and use its information sources?

Use the **Achieving Consensus overhead** (Attachment 2.2) to summarize.

All Aboard

Objectives:

- To have fun!
- To practice group problem solving and teamwork.

Activity:

❖ See Attachment 2.3 for complete instructions for **All Aboard** noting particularly the safety guidelines. If building a platform is not practical, try using a 6' folding table with the legs collapsed or a sturdy card table, again with the legs folded.

❖ Process questions:

-- What did you learn about yourself as a member of this group?
-- How did the team work together to solve this problem?
-- What process did you use?

Charting the Course

Objective:

- To reach a CLP team consensus about the program's content and schedule.

Activity:

- Working in their small groups, team members use the group's data from the previous exercises to plan a program schedule.

- The team meets together with the facilitator to discuss the plans and to reach a team consensus on a tentative program schedule.

  Note: You may need to guide the group's final decision on topics based on the data or leave some dates open for flexibility. Team members should facilitate some sessions. If possible, make those assignments at this time.

Wrap-Up & Preparation

Objective:

- To review the day's learning and prepare for the next meeting.

Activities:

- The facilitator initiates a discussion on what the team learned about seeking consensus and how consensus can be an effective tool for building collaboration.
  - What did you learn about reaching consensus?
  - What will you take back to work, and share with your colleagues?

- Review the goals for the third meeting and distribute resources, homework and materials.

FEEDBACK FORM

IEL needs your feedback on the Facilitator's Guide to keep us on the cutting edge of training collaborative leaders. Please take a few minutes to reflect on this unit, the team members' reactions, and your suggestions for any changes. Thank you for answering the questions below and returning the form with your day's agenda and list of resources used. **Please fax them to Wendy Russell at 202-872-4050.** THANK YOU!

1. Which activities were most effective? Why?

2. What would you do differently, if you repeated this unit? Why?

3. Which resources did team members find useful, relevant?
   Did you supply additional ones? If so, what?

4. What were the team's key learnings?

5. What were your key learnings?

6. Other comments or suggestions?

FACILITATOR'S GUIDE TO RESOURCES

The folllowing two monographs can be ordered from IEL (202-822-8405):

☐ Bruner, Charles. Thinking Collaboratively: Questions and Answers to Help Policy Makers Improve Children Services. Washington, D.C.: Education and Human Services Consortium, 1991. $3.00

☐ Edelman, Peter. Serving Children and Families Effectively: How the Past Can Help Chart the Future. Washington, D.C.: Education and Human Services Consortium, 1991. $3.00

The following article can be found in local libraries or by calling the publishers.

☐ Gardner, Sid. "Failure By Fragmentation," California Tomorrow. Fall, 1989. (415-441-7631)

This following can be found in libraries, bookstores or ordered from the publisher. (800-274-4434)

☐ Dimock, Hedley, G. Groups: Leadership and Group Development. San Diego: University Associates, Inc. 1987.

☐ Jacobs, Ronne Toker and Barbara S. Fuhrmann. "The Concept of Learning Style: The Learning-Style Inventory," Instrumentation Kit. San Diego: University Associates, Inc. 1987.

☐ Pfeiffer, J. William and John E. Jones. "Consensus Seeking: A Collection of Tasks," A Handbook of Structured Experiences for Human Relations Training. San Diego: University Associates, Inc. 1993, Vol. IV, No. 115.

The following article is attached and can be photocopied:

☐ Himmelman, Arthur. Communities Working Collaboratively For a Change. Minneapolis: The Himmelman Consulting Group, July 1992.

ATTACHMENTS:

2.1 Collaborative Leadership Questionnaire

2.2 Achieving Consensus Overhead/Handout

2.3 All Aboard Instructions

2.4 How Adults Learn Overhead/Handout

Attachment 2.1

COLLABORATIVE LEADERSHIP QUESTIONNAIRE

Name______________

Collaborative Leadership Qualities: What's Important?

1. You have been asked to serve on a selection committee to hire a director for your newly-created collaborative network to provide integrated educational, social, and health services in a low-income urban or rural area.

Please rate the importance of each capability listed below by circling one number for each item.

How important is it that the director:

		Not Important	Somewhat Important	Important	Very Important	Absolutely Essential
a.	Has in-depth knowledge of a range of public and private social and health organizations	1	2	3	4	5
b.	Reaches out to talk with and learn from consumers of the services	1	2	3	4	5
c.	Articulates a clear vision of how people, organizations, and communities must come together to help children and families	1	2	3	4	5
d.	Facilitates effective meetings	1	2	3	4	5
e.	Manages programs effectively.	1	2	3	4	5
f.	Includes all stakeholders, so that the diversity of the entire community is represented	1	2	3	4	5
g.	Generates the commitment of others to a common goal.	1	2	3	4	5
h.	Nurtures leadership in others.	1	2	3	4	5
i.	Encourages the continual learning and development of everyone in the organization	1	2	3	4	5
j.	Manages conflicts effectively	1	2	3	4	5
k.	Communicates effectively across organizational boundaries.	1	2	3	4	5

Collaborative Leadership Qualities (continued)

		Not Important	Somewhat Important	Important	Very Important	Absolutely Essential
l.	Is organized and decisive in moving toward meaningful change	1	2	3	4	5
m.	Confronts and solves tough issues	1	2	3	4	5
n.	Acquires and strategically allocates financial and other resources	1	2	3	4	5
o.	Is honest in dealing with others . . .	1	2	3	4	5
p.	Stimulates the active involvement of all participants . .	1	2	3	4	5
q.	Not only takes risks, but encourages others to do the same	1	2	3	4	5
r.	Builds consensus among stakeholders on decisions that will affect them	1	2	3	4	5
s.	Actively listens to what others have to say	1	2	3	4	5
t.	Acts with recognition of political dynamics (i.e., is politically savvy)	1	2	3	4	5
u.	Exhibits flexibility in responding to issues	1	2	3	4	5
v.	Has a strong understanding of the community's capabilities.	1	2	3	4	5
w.	Other? (please specify).	1	2	3	4	5

Collaborative Leadership Qualities: Where am I?

2. Now rate yourself on each of the same qualities. How proficient or skilled are you?

(Please rate yourself by circling one number for each item, and then go back and **star your top five priorities for learning in CLP.**)

		Not good at this!	Not as good as I'd like	I'm OK at this	I'm good at this!
a.	I have in-depth knowledge of a range of public and private social and health organizations	1	2	3	4
b.	I reach out to talk with and learn from consumers of the services	1	2	3	4
c.	I articulate a clear vision of how people, organizations, and communities must come together to help children and families	1	2	3	4
d.	I facilitate effective meetings.	1	2	3	4
e.	I manage programs effectively.	1	2	3	4
f.	I include all stakeholders so that all voices in a diverse community are heard.	1	2	3	4
g.	I generate the commitment of others to a common goal.	1	2	3	4
h.	I nurture leadership in others.	1	2	3	4
i.	I encourage the continual learning and development of everyone in the organization.	1	2	3	4
j.	I manage conflicts effectively. . . .	1	2	3	4
k.	I communicate effectively across organizational boundaries.	1	2	3	4
l.	I am organized and decisive in moving toward meaningful change .	1	2	3	4

Collaborative Leadership Qualities (continued)

		Not good at this!	Not as good as I'd like	I'm OK at this	I'm good at this!
m.	I confront and resolve tough issues	1	2	3	4
n.	I acquire and strategically allocate financial and other resources	1	2	3	4
o.	I am honest in dealing with others. .	1	2	3	4
p.	I stimulate the active involvement of all participants . .	1	2	3	4
q.	I not only take risks, but I encourage others to do the same	1	2	3	4
r.	I am skilled at building consensus. .	1	2	3	4
s.	I actively listen to what others have to say	1	2	3	4
t.	I act with recognition of political dynamics (i.e.,I am political savvy)	1	2	3	4
u.	I exhibit flexibility in responding to issues.	1	2	3	4
v.	I have a strong understanding of my community's capabilities.	1	2	3	4
w.	Other? (please specify).	1	2	3	4

Are there other capabilities that you feel are critical to collaborative leadership that are not listed here? Please specify:

This instrument is periodically revised. For the latest edition, contact the CLP staff at IEL, 202-822-8405. The original version was developed under contract with the Regional Laboratory for Educational Improvement of the Northeast and Islands, 1993.

Achieving Consensus

- Members should avoid arguing in order to win as individuals. What is "right" is the best collective judgment of the group as a whole.

- Conflict on ideas, solutions, predictions, etc.., should be viewed as helping rather than hindering the process of seeking consensus.

- Problems are solved best when individual group members accept responsibility for both hearing and being heard, so that everyone is included in what is decided.

- Each member has the responsibility to monitor the processes and to initiate discussions of process when the work is becoming ineffective.

ALL ABOARD

OBJECT: To see how many people can get on a 2′ x 2′ platform at one time.

RULES:

1. In order to be counted as on the platform, each person must have both feet off the ground.
2. The group must be able to hold a balanced pose for at least five seconds; i.e., no one touches the ground for the measured five seconds.

NOTE: An average group can get 12-15 bodies on the platform, although theoretically a much larger number is possible. The exercise lends itself to useful discussion about team effort, group and individual commitment, leadership, compassion and group problem solving dynamics.

The All Aboard is a solidly built 2′ x 2′ platform. The 2′ x 2′ measurement is not carved in stone (in fact, each platform built seems to vary a few inches from side to side), but does provide a general pattern size to work from.

Construction of a portable platform is simplicity itself. Cut 2 ft. sections of 4″ x 4″ lumber and, placing them parallel to one another 2 ft. apart (outside edges), nail or screw three 2″ x 8″ x 2″ boards to the top of the 4″ x 4"s. Finish the job by rasping off the edges to minimize the chance of injury if someone were to fall onto the platform.

SAFETY: Remember that one of your responsibilities as group leader is to encourage safety procedures. It may be necessary to occasionally nix an idea if someone's safety is jeopardized. The "Pig Pile" technique of stacking people on the platform in cordwood fashion is dangerous and should not be allowed. This seemingly logical ploy of stacking horizontal participants perpendicular to one another (think of a tic-tac-toe set up) results in tremendous pressure being put on the bottom two people. Perform some quick addition and you will see what a poor solution this becomes-- theoretically sound; actually, painful.

Adapted from Project Adventure, Inc.

HOW ADULTS LEARN

1. **RESPECT** -- the learners must feel heard, honored, respected as persons, not for what they know but for themselves.

2. **IMMEDIACY** -- learners must see how they can use their new knowledge, skills and attitudes immediately.

3. **EXPERIENCE** -- learners learn best when what they are learning is directly related to their own life experience.

4. **20%** -- we can use only 20% of what we hear

40% -- we can use 40% of what we hear and see

80% -- we can use 80% of what we discover for ourselves

Adapted from *The Modern Practice of Adult Education: Andragogy vs. Pedagogy* by Malcolm Knowles, Prentice Hall, 1970

COMMUNITIES WORKING COLLABORATIVELY FOR A CHANGE

Arthur Turovh Himmelman

July 1992

PLEASE NOTE

As a working paper, this monograph continues to be modified as the author's ideas about the theory and practice of community-based collaboration change. It has distributed in several editions since June 1990 and, therefore, it is important to note the distribution date of the copy you receive.

No part of this document should be reprinted without permission and acknowledgment of the author. It can be photocopied for distribution without permission. If only parts are photocopied, acknowledgement of the author would be appreciated.

The collaborative betterment and empowerment processes described in this monograph were examined and formulated through the work of the Public/Private Initiative Project (P/PIP), a demonstration project in multisector collaboration initiated in 1986 at the Humphrey Institute of Public Affairs at the University of Minnesota. Further refinement of the collaborative empowerment model has resulted from extensive additional participant observer research by the author on a variety of collaborative initiatives. More information about P/PIP and the ideas expressed here is available by contacting:

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PREFACE

The purpose of this monograph is to help transform power relationships within and among large public, private, and nonprofit institutions and between such institutions and community and neighborhood-based organizations. This transformation would be based on the realization that, as a nation of growing class, race, and gender divisions, we can no longer ethically condone - nor economically afford - a society in which the values and practices of our public, private, and nonprofit sectors often sustain and even promote such divisions.

This monograph does not comprehensively substantiate the claim that our society is facing a crisis due to growing class, race, and gender divisions - - this case has been made by countless numbers of books, articles, reports, studies, and news stories over the past several years. Rather, based on the assumption that we do know what is wrong with our society, the monograph attempts to provide a theoretical framework and practical methodology for helping to create an America for all of us, not just for some of us. In the words of Rodney King, we now need to find out if we can all get along well enough to create a far more decent and caring nation. This is the most profound question of our times. What is offered here is a vision and method for dramatic societal change to help us all get along, while there is still time to do it.

The vision and practice described here calls for social change that is as nonviolent as possible, although it does not ignore how closely violence and power are related in America. Our genocidal wars against Native-Americans, the enslavement of African-Americans, the violence against union organizers, and the continuing, devastating physical abuse of women and children are among the most obvious examples. Nor does the call for nonviolence ignore the physical and spiritual pain and silent screams of hunger, homelessness, and hopelessness.

The call for nonviolence is not based on the common assumption that military and police forces could easily crush any violent movements for change - we saw how easily the forces of law and order lost control as many in the inner-city of Los Angeles reacted when police were acquitted of brutality against Rodney King. One can only imagine what might happen if even a small amount of what we consider everyday criminal violence became political in its focus, literally changing its emphasis from personal gain to political change.

Rather, the call for nonviolence, as the only acceptable method for fundamental social change, is rooted in two insistent truths. The first, which is based on clear historical and current evidence, is that the use of violence to promote a more humane and decent society, more often that not, produces yet another form of ruling elite that dominates society and limits democracy and freedom. The second is that violent social change seldom allows for the careful experimentation with new social institutions that is required to create humane and workable alternatives to oppressive relations between those with substantial power and those denied significant access to it.

Given, then, that the need to transform oppressive relationships is an integral part of the birth of a new society, it follows that the processes by which people engage in such a transformation should reflect the values and substance of new social institutions and of possible new societies. Among the most important transformational processes to be described here are those providing for mutual recognition; and for the establishment of respect, trust, and power which is defined and shared by all those joined in common efforts.

The vision of and processes for societal change called for in this monograph are embodied in a concept called "collaborative empowerment." Just as strategic planning promotes systematic organizational development, collaborative empowerment promotes systematic societal change. It is a planning and organizing method through which community and neighborhood-based organizations can design, implement, and assess problem-solving strategies that increase their self-determination. Collaborative empowerment advocates that those most affected by a collaborative change effort should be full partners in decisions made about it. When all those in a collaborative have substantial ownership, there is a far greater likelihood that its primary purposes will be achieved and sustained. If this principle were better understood in Los Angeles today, residents of South Central Los Angeles would not have to fight with "community partnerships" for recently created jobs to help rebuild their own neighborhoods.

Collaborative empowerment proposes that greater self-determination will result when mutually respectful relationships are formed between community and neighborhood-based organizations and larger public, private, and nonprofit institutions. This respect grows out of a commonly shared vision among those engaging in collaborative, community-based initiatives. This respect is maintained by recognizing that people in need of assistance also can and should make vital contributions to community problem-solving. This respect is enhanced by sharing decision-making power, responsibilities and accountabilities, and commitments to democratic principles.

In promoting greater self-determination in community and neighborhood settings, it is understood that collaborative empowerment cannot be achieved without stronger interdependence among all organizations and institutions that touch people's lives.

Indeed, the linkage of self-determination and interdependence is a fundamental collaborative empowerment principle and, as such, stands in contrast to the mutually exclusive concepts of dependence and independence as they are commonly used in our personal conversations and political debates.

The advocacy of collaborative empowerment also recognizes the limitations of community and neighborhood-based solutions to our larger societal problems. While community and neighborhood-based efforts are now finding growing and well deserved attention, they must be coupled with substantial policy changes at all levels of government, particularly at the federal level, if such initiatives are to succeed.

There is a clear danger that we may expect far too much from communities and neighborhoods when most of our major societal problems result from national and international economic changes and political policies, particularly the loss of family wage employment and its devastating consequences on families and individuals. Therefore, because of this larger reality - both in terms of the scale and kinds of resources needed, and the power to redesign their delivery and redirect their focus - it is critical that collaborative empowerment partnerships are created between local communities and the federal government as well.

COMMUNITIES WORKING COLLABORATIVELY FOR A CHANGE

Arthur T. Himmelman

If there is no struggle, there is no progress.
Frederick Douglass

In one part of a city, we are confronted by drug trafficking, burned-out buildings, violent crime, homelessness, and children growing up in abject poverty. A short distance away, in another part of the city, we are overwhelmed by the excesses of wealth, by vast human and technical resources, and by the reluctance of many with political and economic power to move beyond the status quo. Will we, as a nation, remain unwilling to seriously address these disparities and their links to hopelessness and violence? All that can be said for sure is that, while the Rodney King verdict in May was the match, the combustible conditions that resulted in 58 deaths and $1 billion in damages in Los Angeles continue to exist both there and in many other cities in the United States.

Like Los Angeles, New York City is a place of great disparities. If asked about New York, most Americans might tell you something about Manhattan, its most famous borough, but few people would say much about the South or Mid-Bronx. Those who do know something about these sections of the Bronx cite concerns about its various destructive forces. As in many inner-cities, these include massive disinvestment, long-standing neglect by government, arson for profit, employment and population losses, building abandonment, drugs, crime, and the lack of decent housing.

Perhaps, after the events in Los Angeles this May, we may be more willing to care about our inner-city communities. Perhaps we are finally learning that, if our affluent nation is also to be a caring nation, none of us can ignore poverty's challenge to our ethical integrity. Our religious leaders should call our inner-cities to our attention as a matter of social justice. Our political leaders should direct our support to our inner-cities as a matter for serious public concern and forceful action rather than, as is sometimes the case, as places for their "photo opportunities" or their empty political statements about urban revitalization.

Unfortunately, most religious and political leaders still do not speak to us about our inner-cities. Nevertheless, America is beginning to get the message anyway as we hear the voices and learn from the heroic community change actions of their residents.

Among the most important of these voices and community change efforts are those of the South and Mid-Bronx. While not neglecting to tell us about the painful ravages of poverty and despair that many in their communities still feel, the residents of the South and Mid-Bronx are showing us what empowered communities can do in collaborative revitalization efforts with those who join them in positive and respectful alliances.

MID-BRONX REVITALIZATION

One of the most important Bronx revitalization efforts began in 1974. At that time, residents and church leaders of the Crotona neighborhood in the Mid-Bronx formed a community-based, nonprofit coalition called the Mid-Bronx Desperadoes (MBD), officially known as the MBD Community Housing Corporation. The early leaders of the MBD, like founders Genevieve Brooks, and the Reverend William J. Smith of Saint Athanasius Roman Catholic Church, had a different vision of the Crotona neighborhood. They helped community residents to take charge of their own destinies and begin a courageous, skillful, effective process of community transformation. Together they created a nonprofit coalition of nine community-based civic organizations, churches, and block and tenant associations.

MBD's mission was and is to renovate abandoned buildings, develop new housing opportunities, stimulate commercial revitalization, foster employment opportunities, and restore necessary services. The MBD works collaboratively with government (including local police and fire departments), businesses, banks, foundations, and other nonprofit organizations to create affordable housing and commercial redevelopment. In addition, it has initiated career counseling programs and effective community crime prevention efforts like the MBD Civilian Security Patrol.

By the late 1980s, MBD had reclaimed or built homes for more than 1,000 families, including four housing projects for the elderly. MBD's Salters Square includes an $18 million investment with a four-to-one ratio of private to public dollars. MBD's Charlotte Gardens includes 89 ranch-style single-family homes on a street that had become a national symbol of urban decay. In addition to these physical changes, MBD has returned a strong sense of pride to the community. In doing so, it has created a clear vision of changes beneficial to the community as a whole, as well as to the families and individuals who comprise it. The MBD has empowered itself to act on behalf of the community in collaboration with public, private, and other nonprofit organizations.

The efforts of the MBD and other Bronx community-based organizations became part of a new comprehensive strategy encouraged and supported by the Bronx Redevelopment Council (BRC). The BRC created a revitalization plan with the assistance of hundreds of volunteers representing tenants, neighborhood associations, community boards, officials of Bronx Borough and New York City government, businesses, colleges, hospitals, and social service organizations. The plan calls for extensive involvement by community-based organizations and focuses on: (1) Priorities For Funds: Saving The Next Generation, to concentrate federal, state, and city funds in the Bronx by subsidizing housing, expanding Head Start, prenatal care, and pregnancy and substance abuse prevention programs; (2) Priorities For Leadership Attention: Three Borough-wide Campaigns, to prepare adults for work, clean and green the Bronx, and coordinate social and commercial services while reconstructing neighborhoods; and (3) Priorities For Land: Housing For Mainly Middle-Income Households, to meet current resident's needs for good housing and to attract new residents. The BRC plan links middle-income housing to jobs in construction, retailing, and services.

Bronx revitalization efforts included a $280 million annual commitment from the city of New York to restore decayed apartment houses for low-income families. By 1991, cooperatives, nonprofits, for-profits, and the city have restored approximately 50,000 apartments. Such efforts require substantial property maintenance and tenant cooperation and, in turn, these requirements for longer-term, sustainable change are best met when community people can trust organizations that act on their behalf.

Much of the credit for establishing this kind of trust in the Bronx, and in inner-cities across the country, should go to community-based organizations like MBD that create collaborative processes which allow and encourage public, private, and other nonprofit organizations to join them in sustainable, community-based revitalization efforts.

COMMUNITIES SEEKING COMMON GROUND

Although relatively few Americans live in communities facing the challenges of South Central Los Angeles or the South and Mid-Bronx, the world at the street corner or in the biosphere no longer politely knocks at our doors before entering our lives. The world is also filled with the results of our collective actions, or inactions, that leave us with intended and unintended consequences. Whether we acknowledge it, we all live in relation to poverty, homelessness, malnutrition, drug trafficking, and toxic environments. These problems cannot be solved only by individuals or within families.

As the realities of life become more difficult for many people, large public and private institutions require strong, continual, effective public advocacy to keep their priorities focused on human development and sustainable, safe environments. Much of this advocacy is coming from communities and neighborhoods that are enhancing our capacities to live together in an increasingly interdependent world.

THE NEED AND OPPORTUNITIES FOR COLLABORATIVE INITIATIVES

During the past ten years, federal tax and redistributional spending policies have increasingly left state and local governments less able to address social and economic problems. For example, the federal government's share of state and local government budgets decreased from 25% in the late 1970's to 17% in the late 1980's. As the federal share decreased, states found it necessary to increase their funding for programs like Medicaid, the primary health care program for the poor and disabled.

While these changes in federal, state, and local government taxing and spending were taking place in the 1980's, poverty became more widespread, severe, and chronic in the United States than in other Western democracies according to a September 1991 report of the Joint Center for Political and Economic Studies in Washington, D.C.

Census Bureau data indicated that total poverty rose sharply from 1989 to 1990 and that, because of the continuing recession, even sharper rises in poverty rates are expected during the early 1990's. While the number of low-income people is growing, the gap between them and the affluent is growing even faster. Widely diverse publications, including the conservative Wall Street Journal, are in agreement that our current economic inequality is at a post-World War II high and is still increasing.

Among the measures of this growing inequality is the change in the wages and salaries earned by the top 4% of our population as noted in America: What Went Wrong by Donald L. Barlett and James B. Steele (Andrews and McMeel: 1992). Barlett and Steele note that in 1959, the top 4% earned as much as the bottom 35% of individuals and families. By 1989, the top 4% earned as much as the bottom 51%. In reporting on a study by Arthur B. Kennickell of the Federal Reserve and R. Louise Woodburn of the Internal Revenue Service, Business Week (18 May 1992) indicates that accumulated wealth disparities are growing even more dramatically than wage disparities. According to the magazine's report, the top 1% of individuals and families increased their share of the nation's total private wealth five percentage points between 1983 and 1989. This resulted in the net worth of the top 1% of our families "being almost a fifth higher than the entire net worth of the bottom 90% of families." Among the consequences of these gaps in wages and wealth is the large numbers of children, particularly children of color, now living in poverty. Our growing gap between rich and poor says more about the value of family money than family values.

In this context of growing poverty and increasing income and wealth inequality, state and local governments find themselves facing shrinking budgets, layoffs in their workforces, demands for more services, and increasing resistance to new taxes. As a result of global and national economic forces and political decisions, growing numbers of people are without shelter or affordable housing, cannot sustain vital nutrition, do not benefit from adequate health care, and/or are denied access to appropriate education, job training, and employment opportunities that can support families.

In order to better address this national reality, many argue that it is essential for the federal government to connect increased taxes with redirected spending priorities that can help states and local communities. It is unlikely, however, that significantly greater federal financial resources will be made available in the near future for local communities, even as federal taxes are raised, unless there is a massive political mandate to do so. On the contrary, it is more realistic to expect that the fiscal consequences of large federal budget deficits, the long-term consequences of the current recession, the substantial cost of the savings and loan bail out, and other economic factors will greatly limit political leadership for domestic spending. In 1991, interest payments on our $4 trillion national debt (which was expected to grow by $350 billion in deficit spending in fiscal 1992) totaled nearly $300 billion annually, one dollar for every five spent by the federal government. Such payments pose great problems because they increasingly drain vast amounts of taxes from socially productive uses and simply transfer them to private bondholders. As a result of these and other economic and political realities, the nonpartisan Advisory Commission on Intergovernmental Relations has suggested that state and local governments (and local communities in general) will be in a "fend-for-yourself" political reality for several years to come.

Within this reality, states and local communities are making a wide variety of choices in response to requests for limited resources. Among these choices are: (1) advocating for increases in federal support; (2) increasing local taxes; (3) enlarging the local tax base; (4) cutting services and their workforces; (5) increasing user fees; (6) improving tax and payment (such as child support) collections; (7) borrowing from public employee pension funds; (8) experimenting with "structural" and "customer-based" public service redesigns; (9) privatizing government services by shifting them to the for-profit sector; (10) expanding or reducing contracts with nonprofit service providers; (11) becoming more effective at inter-governmental collaboration; and (12) working collaboratively with the private and nonprofit sectors (multisector collaboration). States and local communities will continue to use a mix of these options, but are likely to focus greater emphasis on improving multisector collaboration for a variety of reasons.

RATIONALE FOR LOCAL MULTISECTOR COLLABORATION

Some argue that the reduction of federal support is a positive change because it places public responsibility closer to the problems being addressed. However, it creates responsibilities and mandates without providing the money to act on them if adequate local financial resources are not available. Local collaborative initiatives should not be considered an alternative to greater federal support, but rather as strategic and valuable contributions to partnerships including substantial federal resources. Within this context, there are many reasons to engage in multisector collaboration in local communities.

Decentralized Service Delivery

The growing commitment to decentralized service delivery encourages greater participation and diversity, as well as strategic, creative, and better coordinated uses of resources at the local level. Collaboration is well suited to decentralized approaches and, to be most effective, includes a diversity of organizations and individuals through participatory rather than hierarchical decision-making processes.

Broader Expertise and Understanding

The complexity of many social and economic problems requires a broad range of expertise and sensitivities. Clearly, the broadest and deepest sources of these vital ingredients are frequently found when all three sectors - public, private, and nonprofit - are included in the definition and solution of community concerns.

Within each of these sectors, however, hierarchial definitions of status, control, and power can needlessly and harmfully exclude those reflecting community and alternative visions and experiences. Ensuring that inclusivity is valued when expertise and understanding is sought is a central challenge and opportunity in multisector collaboration.

Scale and Scope of Needed Resources

The scale of the financial, physical, and human resources required to significantly address many community issues precludes the development of viable solutions by only one sector, even the public sector. Indeed, with so many conflicting demands on limited public funds, it is essential to create pooled resources from the public, private, and nonprofit sectors to adequately support many programs and projects in local communities. Those engaging in collaborative efforts should be careful not to assume that cost savings will be a primary result of their activities because there are costs associated with collaboration as well. This does not suggest that substantial cost savings are unlikely to accompany collaborative efforts, only that cost savings should not be the primary reason and expectation for collaboration.

Proven Record of Accomplishments

Collaborative initiatives have a proven track record in both rural and urban communities across the country. Community-based collaboratives have built affordable housing for low-income people; created employment for those who had no access to the marketplace; provided decentralized, quality health care; stimulated small business development and other kinds of economic revitalization; and provided hope and vision where none existed before.

Providing Leadership for Policy Change

Coalitions of leadership from the public, private, and nonprofit sectors can make more persuasive cases for important policy change initiatives than can efforts viewed as the agenda of a single sector. Collaborative multisector leadership can also frame new policies in terms of addressing the "public good" rather than the special interests of particular groups. Growing multisector support for new and improved early childhood health care and developmental programs is a good example of such collaborative leadership.

COLLABORATION COMPARED WITH OTHER CHANGE STRATEGIES

It is important to consider a variety of options for working with others since there is increasing pressure on organizations to find common purposes as financial resources for community needs become more scarce in relationship to such needs. Although both public and private funding sources are emphasizing collaboration, organizations that are not ready for or interested in collaboration should consider other options. The options below are among those most often used by organizations with common interests.

- NETWORKING is defined as exchanging information for mutual benefit. It is the most informal of the inter-organizational linkages and, as a result, can be used most easily. It often reflects an initial level of trust and commitment among organizations and is a very reasonable choice for such circumstances.
- COORDINATION is defined as exchanging information and altering activities for mutual benefit and to achieve a common purpose. Coordination requires more organizational involvement than networking and, given the degree to which both internal and inter-organizational "systems" are poorly coordinated, it is a very important strategy for change. This is particularly true from the point of view of those who find uncoordinated systems very unfriendly yet also regard them as essential for the maintenance of their daily life or longer-term well being.
Coordination efforts often play a key role in community change initiatives. The common purposes of coordination are best formulated when all parties affected by proposed changes share in decisions about their intended consequences as well as in

considerations unintended consequences.

- COOPERATION is defined as exchanging information, altering activities, and sharing resources for mutual benefit and to achieve a common purpose. Cooperation requires even greater organizational commitments and, in some cases, may involve legal arrangements. Shared resources can encompass a wide variety of human, financial, and technical contributions, including knowledge, staffing, physical property, access to people, money, and many others. Cooperation is a highly useful inter-organizational strategy.
- COLLABORATION is defined as exchanging information, altering activities, sharing resources, and enhancing the capacity of another for mutual benefit and to achieve a common purpose. The willingness to enhance the capacity of another organization requires sharing risks, responsibilities, and rewards, all of which can increase the potential of collaboration beyond other forms of organizational activity. In some ways, because we live in a very individualistic and competitive society, collaboration also represents a change in values and beliefs about the nature of our relationships, both organizational and personal. Those engaging collaborative relationships view each other as partners and, as partners, each wishes to enhance the other's capacity to achieve their own definition of excellence to help accomplish a mutually established purpose.

It is important to emphasize that collaboration is best used only when other inter-organizational strategies cannot achieve mutual goals. Even though collaboration offers the greatest potential benefits, it often challenges traditional values, its processes are complex, and the time it requires can be considerable. Therefore, collaborative processes should be chosen after conducting careful, strategic assessments of its viability and appropriateness for addressing specific issues or circumstances.

Confrontational Community Change Strategies

In considering choices about community change strategies, it is also important to recognize that, in some cases, confrontational methods may be useful initially or during a community change process. Confrontational strategies can be very sophisticated and lead to strong working relationships between neighborhood and community groups and larger institutions once confrontational methods gain the attention of those in power. Interestingly, there are many examples of initial confrontations, (such as those around the implementation of the Community Reinvestment Act), which eventually have led to cooperative or collaborative relationships between large institutions, like banks, and community-based organizations. Those interested in understanding the appropriateness and effectiveness of confrontational methods as a part of a community change effort can find excellent literature and training resources to assist them. One such resource is the National Training and Information Center, 801 North Milwaukee Avenue, Chicago, IL 60602 (312/243-3035).

MULTISECTOR COLLABORATION DEFINED

When public, private, and nonprofit organizations collaborate, it is often referred to simply as a "public/private partnership." Unfortunately, the nonprofit sector is less likely to be considered as a full partner in collaboration when it is viewed as only a part of the private. When, in fact, all three sectors collaborate, the phrase "multisector collaboration" is a better description. Multisector collaboration is defined as:

> A voluntary, strategic alliance of public, private, and nonprofit organizations to enhance each other's capacity to achieve a common purpose by sharing risks, responsibilities, resources, and rewards.

Sharing risks, responsibilities, resources, and rewards is very central to effective collaboration. Although it is not uncommon to find organizations waiting for others to take risks, and to join with them only if the risk has passed, this kind of behavior is not appropriate for collaboration. Partners stand with, work with, and support each other especially when risks must be taken. Similarly, collaborative partners share responsibilities for tasks, large and small, that must be accomplished. It is not collaborative to leave the large majority of such responsibilities to a relatively few organizational representatives. Shared responsibility is a fundamental principle of collaboration and should be consistently held up as an important value and practice. As for the sharing of resources, it is important to acknowledge that each partner can and should make contributions to the collaborative. This means that resources are best defined very broadly. For example, credibility with and access to neighborhood residents ought to be as important as (if not more important) than levels of financial contributions. People who can provide a narrative history of a community issue from their personal experience should be viewed as making the same quality of contribution as do others who may have highly technical research skills to focus on the same issue.

And, finally, sharing rewards must be regarded as another key element in successful collaboration. This means that no single organization can take credit for accomplishments because publicity about the collaborative's work acknowledges all partners. Sharing rewards can also mean simply enjoying each other's company or celebrating the achievement of particular goals. Shared celebrations can have very positive benefits for all partners and can make the longer-term viability of the collaborative much stronger.

It is important to emphasize that this definition of multisector collaboration assumes that the organizations involved will make a "good faith" effort to address fundamental issues of concern in a constructive manner. Even with such commitments, however, most collaboratives face numerous and substantial challenges as they attempt to address and resolve differences in viewpoints, power, and trust among their members.

Of particular importance is the way that people view and treat each other. If those participating in a collaborative "walk the talk" of enhancing each other's capacity, they will make every effort to share their concerns in ways that allow others to respond without defensiveness. It also means that key decisions about the collaborative would not be made between meetings in private sessions among a few members, nor would people simply withdraw or disappear from the collaborative without providing others with information about the reasons for their departure.

SOCIETAL AND COMMUNITY BARRIERS TO MULTISECTOR COLLABORATION

While an extensive discussion of the barriers to effective multisector collaboration is not a primary focus of this paper, it is important to acknowledge some of the societal and community-specific barriers that should be given attention before and during a collaborative effort. These barriers derive from larger societal characteristics that pose significant obstacles to collaborative efforts. Among these barriers are:

(1) The maintenance of excessive commitments to individualism in American life which often restricts our thinking and acting in relationship to others;

(2) The continuing reduction of federal support for local community needs and the erosion of public sector leadership for domestic spending on human needs;

(3) Structural changes in the national and international economy compounded by private investment and public tax policies that produce increasing disparities between rich and poor and the loss of essential family wage employment;

(4) Growing patterns of institutional racism and gender discrimination combined with corresponding increases of violence and abuse against women and children;

(5) Increasing economic and interpersonal stresses upon families, particularly among single parents and families of color;

(6) The lack of political will to effectively provide for universal early childhood development, to transform public educational systems, to provide decent housing and universal health care, including AIDS prevention, care, and research, and to engage in long-term, systematic drug and alcohol abuse prevention and treatment.

Within communities, these and other societal barriers are often compounded by related community issues including, but not limited to:

(1) The abusive, destructive, self-defeating consequences of internalized powerlessness;

(2) The policies and practices of professional classes and large bureaucratic organizations that place their own agendas, and their preoccupation with needlessly complex rules and regulations, ahead of community-based change commitments;

(3) Public and private grantmaking and service provision in communities that both fosters long-term, unhealthy dependencies and reflects a lack of respect for recipients;

(4) Communities' limited ability to form organized alliances based on common visions, from which they can negotiate meaningful power-sharing with larger institutions;

(5) Insufficient planning, technical, management, and organizational skills and resources within and among community and neighborhood-based organizations;

(6) Inadequacies in political and community leadership, particularly leadership derived from and accountable to community-based organizations and constituencies.

Both societal and community barriers limit the options available to multisector collaboratives seeking to foster positive, self-sustaining community change. These and other barriers present formidable challenges that need attention at all societal levels if collaborative initiatives are to succeed. These societal and community barriers and challenges to collaborative, community-based efforts are very real and, although often beyond the scope of local solutions, they still merit discussion and action.

UNDERSTANDING AND PRACTICING MULTISECTOR COLLABORATION

The approach to multisector collaboration outlined here is, admittedly, very ambitious. It attempts to promote multisector collaboration, particularly in its collaborative empowerment design, as a very broad and comprehensive social change strategy that spans the continuum from social service to social justice. The brief summaries provided below only touch upon the basic elements of this emerging theory and practice of social change collaboration.

Seven elements of multisector collaboration require attention if it is to reach its social change potential. These elements have been identified from extensive participant observer research by the author as well as from theoretical and conceptual insights from this research. They are: (1) Acknowledging the role of adult development, and disparities in maturity levels among individual participants, in fostering or hindering effective collaboration; (2) Understanding and responding to cultural differences in values, and methods of communication, and the tension between exclusivity and inclusivity; (3) Providing opportunities for effective small group interaction, conflict resolution, and group problem-solving; (4) Understanding, designing, and facilitating processes in which multiple organizations can communicate and effectively work together; (5) Encouraging perspectives and contributions from public, private, and nonprofit organizations, and fostering the most appropriate roles and responsibilities for each organization and sector on particular issues; (6) Discussing, assessing, and acting upon common viewpoints about the larger political, economic, social, and cultural context in which multisector collaboration takes place; and (7) Emphasizing the contributions multisector collaboration can make in encouraging democratic practices within and among organizations and in changing values in the larger society. A brief explanation of the relationship of each of these elements to social change collaboration follows.

(1) Adult Development

Adult development is a factor in multisector collaboration because individuals vary greatly in their capacities to move from competitive, ego-centered relationships to collaborative relationships focused more on mutual benefit. Many collaboratives include individuals who have acquired influential positions within their organizations through aggressive or self-serving manipulation. Once in a collaborative setting, such people may find it very difficult to share power with others because their need for control and ego-centered reinforcement is very high. Unfortunately, this kind of behavior may also be a central part of the "culture" of their organization and, as a result, the collaborative culture must manifest both clear alternatives to, and sanctions for, engaging in competitive, controlling behavior. Differences in adult development, while sensitive issues, should not be ignored because they can be critical to the success or failure of the collaborative process. Those interested in theories of adult development may wish to examine Robert Kagan's The Evolving Self (Harvard:1982).

(2) Cultural, Communication, and Value Diversity

Cultural differences in values, beliefs, assumptions, and even methods and styles of communication, always substantially affect the collaborative process. Because many collaboratives are established to expand opportunities for diversity, it is natural that such collaboratives find substantial challenges in establishing generally acceptable ground rules, common visions, and fully participatory processes. Therefore, it is helpful to pay considerable attention to how members communicate as well as to what they communicate. Collaboratives can and should provide educational opportunities for participants about cultural and communication differences and, in some cases, provide training that explicitly addresses racism or sexism in collaborative practices. However, training, no matter how good, can make a difference only if there are plans with responsibilities for integrating it into the ongoing activities of the collaborative.

Collaboratives that do not reflect the diversity of the constituencies affected by their activities often find that such a lack of representativeness produces tensions that result in serious conflicts. Much of this conflict relates to the difficulties involved in regaining the trust of those who were not initially included in decision-making. Including, from the outset, all constituencies affected by issues in the collaborative process, not only minimizes conflicts, but also enhances the breadth of perspective, information, and expertise available to address issues.

(3) Group Processes and Problem-Solving

By its nature, almost all of the work of collaboration revolves around group interaction. Unfortunately, most people are not well-prepared to participate successfully in group problem-solving processes. One reason for this, according to the research literature in education, is that the vast majority of our educational training is based on rewarding individual achievement. The familiar "bell curve" distribution of grades strongly encourages competition, and "individualized instruction" methodologies tend to focus on setting individual goals and developing individual problem-solving skills. Few educational settings promote the cooperative learning that encourages group problem-solving, "win-win" approaches. In effect, our educational and work experiences discourage development of cooperative problem-solving skills that are often vital tools for solving complex social problems.

For those who wish to learn more about effective group problem-solving, there are excellent resources available such as the work of David Johnson of the University of Minnesota's Cooperative Learning Center (612/624-8524). His book, Joining Together: Group Theory and Group Skills (Prentice Hall: 1987) is highly recommended.

One of the fundamental insights about group problem-solving is that problems are more easily addressed when presented in ways that make them opportunities for, rather than barriers to, group engagement. For example, when a person states that s/he cannot participate in a group because they do not have enough time, this places a barrier between them and the group. It also provides the person with a way to exit from the group process by declaring, rather than sharing, the power to make this decision. A more collaborative way of giving the same information would be for the person to say "I have X number of hours to contribute to the group." This then becomes the starting point of the group's problem-solving as other members can also state how many hours they can contribute. Once the group adds up the total hours available to it, and compares it to the hours required by particular tasks, the group can then decide whether its common goals need to be modified (perhaps reduced) or whether more members need to be recruited.

Those seeking assistance in group problem-solving should also consider the extensive and still growing work in the field of conflict management and conflict resolution. Numerous professional associations on local, national, and international levels now exist, offering a substantial range of trainer/consultants and training workshops and seminars (see reference below under Multiple Organizations). Ensuring that meetings are productive is also a key task in group process. A nationally acclaimed book, How To Make Meetings Work (Jove:1982), by Michael Doyle and David Straus of Interaction Associates in Cambridge, Massachusetts, is among the best on the basic mechanics of effective meetings. Clearly, group problem-solving and processes are at the heart of collaboration and those participating in such efforts are well advised to seek training as necessary in this area.

(4) Multiple Organizations

Whenever large numbers of organizations engage each other, their relationships often become very complex and problematic. It is vital to plan for such complexity and problems as thoroughly as possible both before and during the collaborative process. Nonetheless, even with effective planning, organizational collaboration will usually remain challenging for its participants. In large part, this is due to the kind of planning that is appropriate for collaboration. Collaborative planning should be much more a guide than a blueprint from which to consider a wide variety of issues.

By its nature, effective collaboration requires that its participants jointly make all fundamental decisions about its activities. This approach contrasts sharply with traditional planning, particularly by large or powerful institutions, that often plan for, not with, others. Much of this kind of institutional planning does resemble a blueprint to be followed, rather than a framework in which options can be fully considered. This is not to say that collaborative planning has no need to address particular issues or variables. Indeed, a good collaborative plan offers suggestions on many key issues such as governance; administration; staffing; funding; communications; setting a mission, goals, and action plans; evaluation; and community participation. Given the complexities created by an "organization of organizations," it is essential to have some kind of collaborative plan within which the design, implementation, and assessment of collaboration can be well considered and balanced through structure and flexibility.

Among growing national resources, assistance with collaborative processes is available in two recent publications by the Program for Community Problem Solving: the Directory of Consultants Helping Communities Collaborate and Consumer's Guide, and Building Collaborative Communities: A Selective Bibliography for Community Leaders. Contact William Potapchuk, Executive Director, (202/626-3183).

(5) Public, Private, and Nonprofit Sector Roles and Responsibilities

Multisector collaboration implies that the collaborative will have representation from organizations from the public, private, and nonprofit sectors. Each of these sectors has evolved historically in the United States in ways that shape the ideological beliefs and stereotypes of those working within them and those affected by them. When engaging in multisector collaboration, it is useful to consider the roles and responsibilities of the three sectors in light of historical, philosophical, and practical/current political realities. For example, the nonprofit sector is called upon to provide human and social services far more often in the United States than in most other capitalist democracies. This tradition has a major influence on what we do or do not expect from government with respect to many human need issues such as the provision of health care. Two particularly helpful articles on the history and evolution of the public, private, and nonprofit sectors are Thomas K. McCraw's, "The Historical Background," in American Society: Public and Private Responsibilities, edited by Knowlton and Zeckhauser (Ballinger: 1986), and Peter Dobkin Hall's, "An Overview of the Nonprofit Sector," in The Nonprofit Sector: A Research Handbook, edited by Powell (Yale University Press: 1987).

In addition, many of those working within a particular sector maintain stereotypes about those working in other sectors. Often these stereotypes are negative and, as a result, can add considerable friction to the collaborative process, thereby limiting the quality of communication, resource exchange, and related contributions that can be achieved among collaborative members. These attitudes compound other barriers to collaboration, and can sharply reduce the benefits collaboration can offer communities. Those engaging in multisector collaboration should make every effort to treat their partners with respect so that differences can lead to greater, rather than fewer, options.

(6) The Political, Economic, Social, and Cultural Context

Collaboration can be viewed as a technique or process that is best developed within an organizational management or behavior paradigm. If viewed in this context, however, much of a collaboration's political, economic, social, and cultural content can disappear under a cover of technical management terminology and social science jargon. A more complete understanding of multisector collaboration, as suggested above, includes historical and philosophical perspectives. It also includes an understanding of the political, economic, social, and cultural reasons for its emergence, and a recognition of how these factors can constrain or expand its potential as a social change strategy.

For example, at the present time multisector collaboration at the local level is driven primarily by economic necessities resulting from political decisions to reduce the federal government's role in redistributing our national wealth. This means that, unless these political positions are changed to provide for larger financial contributions from the federal government (contributions that some suggest should come from increasing taxes on higher income people and continued reallocations from military to domestic spending), most state and local governments will fall further behind rising demands for funding that meets basic human and infrastructure needs.

Without more funding, many public and

private organizations are finding it necessary to establish cooperative or collaborative programs and projects. Localized multisector collaboration born out of such necessity may well be useful, but is also often filled with conflicts, given its "forced marriage" origins. Such local initiatives need special care if the trust and respect that are crucial to collaboration are initially missing, which can easily be the case when relationships among key partners are based only on economic necessities.

(7) Encouraging Democracy, Empowerment, and Value Changes

Collaborative efforts also provide an opportunity to increase the vitality of our democratic institutions by redesigning them to expand diversity, participation, and power-sharing. In particular, collaboratives initiated in community settings provide excellent opportunities for people to exercise, or to learn to exercise, fundamental democratic practices. These practices include identifying issues of concern, educating community members about the need to address such issues, organizing people to take action on issues, and promoting change within communities as well as within larger public, private, and nonprofit institutions. Collaboratives can focus on increasing the participation and power-sharing of those traditionally excluded from decision-making and, in this sense, can empower people and communities. Collaboratives that include opportunities for serious discussions and debates about community values and beliefs can also play an important role in helping to challenge and, if necessary, to change existing community values and beliefs.

Again, this review of seven elements in multisector collaboration is provided to encourage further discussion by those engaged in collaborative experiments. Although the use of multisector collaboration is increasing, its theory and practice remain poorly examined compared to most community problem-solving approaches. Those willing to examine multisector collaboration can make important contributions to its evolution.

The next section of this monograph describes two processes of multisector collaboration, "collaborative betterment" and "collaborative empowerment," and briefly comments on the transition from betterment and empowerment. It is useful to keep in mind the seven elements of multisector collaboration noted above and to consider how they might be related to collaborative betterment and collaborative empowerment processes.

Perhaps the most fundamental lesson about collaborative change is that it is possible and, indeed, highly desirable, to conceive of a process for it before engaging in it. This is more sensible than expecting that its very complex processes will be readily discovered, debated, resolved, and implemented on an ad-hoc basis. In suggesting that the collaborative change process have a design, it does not mean that the design must be a rigid blueprint. Quite to the contrary, any collaborative plan should offer a structure and process for consideration and, whenever necessary, modification as the process unfolds. It is very likely that any collaborative design would be modified, perhaps considerably, by the participants as they gain more understanding and ownership of the collaborative process.

MULTISECTOR COLLABORATION: BETTERMENT AND EMPOWERMENT

As the success of many community-based initiatives suggest, the ownership of any social change process is among the most, if not the most, important of its characteristics. There are few more fundamental indicators of whether community initiatives will have long-lasting benefits. Ownership is also a reflection of a community's capacity for self-determination and can be enhanced or limited depending upon how collaboration is designed and implemented. Two basic ways of designing and implementing multisector collaboration are "collaborative betterment" and "collaborative empowerment." Each has particular affects on community ownership, self-determination, and the long-term sustainability of the collaborative's efforts.

Collaborative Betterment

Collaborative betterment begins outside the community within public, private, or nonprofit institutions and is brought into the community. Community involvement is invited into a process designed and controlled by larger institutions. This collaborative strategy can produce policy changes and improvements in program delivery and services, but tends not to produce long-term ownership in communities or to significantly increase communities' control over their own destinies.

Collaborative Empowerment

Collaborative empowerment begins within the community and is brought to public, private, or nonprofit institutions. In this context, empowerment refers to the capacity to set priorities and control resources that are essential for increasing community self-determination. An empowerment strategy includes two basic activities: (1) organizing a community in support of a collaborative purpose determined by the community, and (2) facilitating a process for integrating outside institutions in support of this community purpose. The empowerment approach can produce policy changes and improvements in program delivery and services. It is also more likely to produce long-term ownership of the collaborative's purpose, processes, and products in communities and to enhance communities' capacity for self-determination.

In practice, in contrast to their pure forms as models, betterment and empowerment processes exist along a continuum on which they can be seen as approaching or moving away from the characteristics ascribed to them in this monograph. Therefore, the models should be used as guides to, and predictors of, the consequences of particular methods of multisector collaboration and not as mutually exclusive descriptions. Indeed, change strategies often should be based on transforming collaborative betterment into collaborative empowerment processes.

COLLABORATIVE BETTERMENT: KEY PRINCIPLES

Most multisector collaboratives can be classified as betterment processes. In this way, their processes are similar to those used by large institutions to deliver most human and educational services and community programs. The collaborative betterment model includes a number of key principles.

- Large and influential institutions initiate problem identification and analysis, primarily within institutional frameworks, assumptions, and value systems.
- Governance and administration are controlled by institutions, although limited community representation is encouraged in advisory roles. Frequently, groups within the collaborative are intentionally separated to give decision-making roles to those considered in the community's "leadership" and implementation roles to those providing or receiving services.
- Staff are responsible to institutions, and although they seek advice from target communities, staff are not directly accountable to them.
- Action plans are usually designed with some direct community involvement but normally emphasize the ideas of institutionally related professionals and experts.
- Implementation processes include more community representation and require significant community acceptance, but control of decision-making and resource allocation is not transferred to the community during the implementation phase.

Although advice from the community is considered, the decision to terminate the collaborative is made by the institutions that initiated it.

COLLABORATIVE BETTERMENT: KEY

ACTIVITIES

The collaborative betterment model can be illustrated by describing seven of its basic activities. Please keep in mind that the following observations are very brief summaries of highly complex processes and relationships that merit greater attention and discussion.

Activity 1: Initiating Institutional Discussions

Large or influential agencies or institutions in the public, private, or nonprofit sector initiate discussions, primarily among themselves, to consider problems, concerns, or issues in their community. A strong leader from one of the large institutions often emerges early to give "credibility" to the initiative. Betterment initiatives are usually lead by people associated with large corporations or major nonprofits, although in many cases public officials play the same role or jointly share it.

Activity 2: Mutual Problem Assessment and Shared Mission

Based on a mutual assessment of the problems, and agreement on sharing responsibility for addressing these problems, these institutions proceed to form a collaborative to address a community problem or problems. Usually, a generally acceptable mission or purpose for the collaborative is also determined at this time.

Initial funding for the collaborative is either secured or identified as this point as well.

Activity 3: Planning, Governance, and Administration

The collaborative begins a planning process to gather necessary data and information about the community problem or issue and to establish a governing and administrative structure. The governance and administration of the collaborative is usually based within one of the large or influential institutions. Although major decision-making is shared by participants, a "lead agency" normally makes key decisions.

Activity 4: Including Community Representation

Representatives from the community or populations being targeted (either as individuals or as organizational representatives) are invited to join the collaborative. These representatives are always a minority in the collaborative and never have decision-making control. However, the advice of community representatives is sought by the collaborative as it formulates its goals and work plans, and community opinions are often reflected in the decisions made.

Activity 5: Seeking Agreements on Action Plans

After resolving significant barriers to participation by its members, the collaborative reaches agreement on contributions from its public, private, and nonprofit sector organizations. The collaborative begins to implement its goals through specific action plans. Usually, further representation from the target community or population is sought at this time, and assistance from other large and influential institutions is secured in the implementation of the collaborative's action plans.

Activity 6: Implementing Action Plans in Community Settings

The collaborative implements its action plans in the target community to the degree that the community is prepared to accept them. Collaborative representatives from the target community are asked to play a significant role in implementing the plans. Normally, staff required to implement action plans are drawn from professional fields associated with the large and influential organizations controlling the collaborative. Occasionally, para-professionals and community residents are also included as staff.

Activity 7: Concluding the Collaborative's Work

Once the action plans have been implemented to the satisfaction of the collaborative's leadership, the work of the collaborative is terminated. The target community has little, if any, control over the continuation or discontinuation of the collaborative's activities except through active confrontation. In addition, the targeted community has limited capacity to continue the work of the collaborative because it has not gained control over decision-making or resource allocation processes used by the collaborative.

COLLABORATIVE EMPOWERMENT

In this paper, it is important to distinguish the collaborative empowerment model, which requires a formally organized collaborative process, from less formalized community-based collaborative approaches. In general, most community-based organizations that engage in multisector collaboration use an informally structured process. The arrangements that community-based organizations make with partners from the public, private, and nonprofit sectors tend to be created only as the process goes along. It is relatively rare for community-based organizations to design an comprehensive process in which their relationships with outside organizations evolve according to an overall collaborative strategy.

In suggesting that community-based organizations might benefit from more strategic and explicitly designed approaches to multisector collaboration, it is also recognized that many informal collaboratives have worked very well. Such collaboratives have been successful at providing employment, economic development, health care, affordable housing, and other human services. The primary purpose in offering the following collaborative empowerment model for consideration is to help communities become even more effective at collaboration which helps ensure their empowerment as a central part of the collaborative process.

Although used far less often in community problem-solving than the betterment strategy, multisector collaboration based on the empowerment approach appears to be gaining acceptance. This growing acceptance is based, to a large extent, on three factors: (1) Increasing evidence that community-based organizations are taking the initiative in collaborative efforts and can produce outstanding results when involved in shaping a collaborative's agenda; (2) Competing and increasing demands on the time and resources of larger public, private, and nonprofit institutions that make it more difficult for them to design, initiate, and implement multisector collaborative betterment processes; and (3) A growing recognition that community efforts that achieve the best results are those which community residents feel are theirs to shape.

COLLABORATIVE EMPOWERMENT: KEY PRINCIPLES

- The process is initiated in a community setting and is assisted by community organizing; early discussions focus on assumptions and values.
- Community problem identification includes both data-based trend analysis and narrative examples from community residents. The latter is given equal credibility in considering options for setting priorities.
- Community priorities are reflected by the purpose of the collaborative. Community-based organizations select representatives who negotiate a collaborative with strategically identified public, private, and nonprofit organizations outside the community.
- Negotiations with outside agencies and institutions produce agreements to proceed on a collaborative basis under the purpose established by the community, and within a governance and administrative process in which power is equally shared by the community and outside organizations.
- The governance and administrative structure includes a policy board, an executive committee, action groups for implementing plans, and staff agreeable to

the community to assist the collaborative.

- Substantial attention is given to the balancing of administration/management goals and community participation goals.
- Goals are implemented through action plans fully supported by community residents as well as by representatives from the public, private, and nonprofit institutions from outside the community.
- Commitments to assessment and evaluation in public settings provide community-based organizations with opportunities for monitoring the progress of the collaborative.
- Community control of resources needed to continue efforts beyond the termination of the collaborative is essential.

COLLABORATIVE EMPOWERMENT: KEY ACTIVITIES

Even though the description of the 16 activities that follows is prescriptive, please do not view the collaborative empowerment model as a blueprint that must be followed in every detail. It is best viewed as a planning framework open to modifications and improvements appropriate to particular community circumstances and settings.

Activity 1: Discussing Assumptions, Beliefs, and Values

It is important to begin an empowerment process by being respectful of people and by taking them seriously. One way to do so is by asking community residents and advocates to discuss the assumptions, beliefs, and values that motivate them. Often such discussions easily focus on the idea or importance of community. They also can help prepare people for sharing ideas about community issues and the need and opportunities for community change. Such dialogues also build bonds of trust that are essential for creating the common visions that sustain longer-term and collaborative community change initiatives.

One method for initiating such dialogues is to ask the people joining a group discussion about possible collaboration to interview each other using two questions: (1) What motivates you to be involved in your community (or tailor this to a more specific focus); and (2) What do you most want to accomplish through your community involvement? (again, this question can be adapted to a particular circumstance). After the interviews, people can volunteer to tell the group what they heard from the person they interviewed. This process models the kind of respectful listening and willingness to talk about important values that is essential to establishing trust among those in a collaborative effort. These kinds of conversations also help reveal the vision people have for community change.

Activity 2: Assessing Trends

In every community there are signs of change that can also be called trends. When discussions suggest that community members share common values about community, and about the need for community change, it is a good time to discuss the trends that affect the community. These trends can be based on stories and narrative examples as well as on empirical data. This activity in the collaborative empowerment process begins to move community members toward a more focused basis for action.

Activity 3: Linking Priority Issues or Problems with Opportunities

The trends that are identified within communities will also reveal issues and problems. In order for a community to take effective action, however, it helps to decide on the specific problems that merit priority attention. Problems identified as priorities for action are best addressed when associated with opportunities and possibilities for change. This also helps provide energy for community change. There may be a need to practice the linkage of problems to opportunities because people often present problems in ways that provide little or no possibility for group problem-solving. If a collaborative effort is to succeed, it must consistently make use of group problem-solving (as noted on pages 19-20). The development and ongoing practice of this linkage, and of a trust in the group to help solve problems, are vital aspects of collaboration.

Activity 4: Clarifying the Community's Purpose and Vision for Collaboration

Once specific priorities for action are established, community residents can translate them into a mission statement which clearly explains the purpose for forming a community-based collaborative. For example, community residents may decide that increasing and improving health care for young children from low-income families is their top priority. A mission statement calling for action on this priority could be:

> To advocate for and implement policies and programs that
>
> effectively respond to the comprehensive health care needs
>
> of low-income children from infancy to six years old.

The development of a collaborative's mission statement is very important and is a primary way for those participating in its early development to increase their sense of ownership for it. As the collaborative develops, the mission statement may be modified to better reflect a broader consensus about the collaborative's purposes. The mission of a collaborative is also reflective of the vision for collaboration. The vision is an imagined better future that provides strength and energy to the community change process (please see pages 51-52 for comments on collaborative vision).

Activity 5: Examining What Others Have Done

At this stage in the collaborative's development, it is useful to gather information on how other communities or neighborhoods have designed and organized their collaborative change initiatives on similar topics. If possible, it is always a good idea to actually visit other collaboratives that exist in the community but if this is not possible, contact should be made by telephone to learn from their activities. The wider the search for what others have done and are doing about comparable concerns, or with similar topics, or through similar collaborative strategies, the better the chances that the collaborative will succeed. Whenever possible, an examination of collaboratives on a national or international level also should be undertaken because there is a growing richness in the diversity of . collaborative experimentation.

Activity 6: Organizing a Community Power-Base

The collaborative's mission statement is next shared with as many community members as possible to gain broad support for action. This support becomes formalized when community residents ask community-based organizations to help negotiate the participation of public, private, and nonprofit organizations from outside the community in the collaborative. It is assumed that many community residents will be members of the community-based organizations representing community interests. The relationships of community residents and community-based organizations should reflect shared community visions and a sincere willingness to share the responsibilities of community representation.

Activity 7: Strategically Identifying Partners

The community organizing committee makes a strategic assessment of which public, private, and nonprofit organizations should be invited to form a collaborative under the community's mission statement. It is important that the community identifies the outside organizations that can best respond to the diversity of the community residents who may be directly affected by the collaborative's primary concern. Once this list is completed, the community organizing committee holds individual meetings with representatives of each of the identified public, private, and nonprofit organizations. These meetings determine which outside organizations will participate in a collaborative addressing the community's mission statement.

Activity 8: Convening and Formalizing the Collaborative

Once the viability of a community-based, multisector collaborative is established, the community committee convenes a meeting with all partners to formalize an agreement to work collaboratively on the community's mission statement. At this meeting, all partners are given ample time to comfortably introduce themselves, discuss their motivations for joining the collaborative, share their initial concerns and expectations, and comment on other issues.

To emphasize the empowerment thrust of the collaborative, the representatives of community-based organizations reiterate that they will not negotiate the mission of the collaborative. However, the community representatives express a strong and sincere willingness to share risks, responsibilities, resources, and rewards for all other aspects of the collaborative, including governance, administration, setting goals, determining action plans, and assessing outcomes.

Activity 9: Establishing Governance and Administration

(Note: capitalization of terms below is for emphasis)

After a sufficient number of meetings to eliminate any barriers to a partner's participation, community-based organizations offer a governance and administration plan that includes: (1) a Policy Board; (2) an Executive Committee; and (3) Action Groups. The plan recommends that each person serving on the Policy Board and Executive Committee be an official representative of an organization and have decision-making authority for his or her organization in the collaborative.

The Policy Board meets quarterly to provide overall guidance on the long-term activities of the collaborative and to advocate for policy changes that the collaborative wishes to encourage. The Executive Committee meets monthly between Policy Board meetings to provide ongoing administrative and program guidance. The Action Groups, each convened by a member of the Executive Committee and responsible for a specific goal, meet as needed to formulate specific action plans (objectives/activities) for the collaborative. To encourage broad participation from the community, all Action Groups are open, at any time, to anyone within or outside of the collaborative's formal membership. However, to ensure reasonable administration and accountability within the collaborative's mission and goals, general Action Group plans are approved by the Executive Committee and ratified by the Policy Board.

A Policy Board membership of about 21 representatives is recommended unless strong reasons for a larger board exist. An Executive Committee of 9 to 11 is recommended, including 4 to 5 officers, 3 conveners of Action Groups for three major goals, and 2 to 4 at-large representatives from the Policy Board ("job descriptions" follow below).

Policy Board Member Responsibilities

(1) Attend Policy Board meetings every three months as a representative of a voting member organization;

(2) Be prepared for meetings by reading relevant meeting materials and being knowledgeable about the collaborative's overall activities;

(3) Be available between Policy Board meetings for occasional requests for assistance related to the collaborative's activities;

(4) Support the collaborative process by encouraging the full and active participation of other Policy Board members;

(5) Provide policy advocacy within member organizations and with organizations outside of the collaborative;

(6) Ensure that the overall policies and direction of the collaborative remain consistent with the mission and goals established by the Policy Board; and

(7) Help secure and oversee financial, human, legal, technical, and other resources deemed necessary within member organizations and through organizations outside of the collaborative.

Executive Committee Member Responsibilities

(1) Attend Executive Committee meetings eight times per year as a representative of a Policy Board organization (these meetings are held between Policy Board meetings);

(2) Act on behalf of the Policy Board between Policy Board meetings;

(3) Be prepared for meetings by reading relevant meeting materials and being knowledgeable about the collaborative's overall activities;

(4) Be available between Executive Committee meetings for occasional requests for assistance related to the collaborative's activities;

(5) Support the collaborative process by encouraging the full and active participation of other Executive Committee members;

(6) Provide ongoing operational, administrative, and management guidance by holding staff and Action Groups accountable for the implementation of goals and action plans;

(7) Ensure that Action Groups are convened to create specific plans for each goal and that such plans are being implemented in a timely and effective manner;

(8) Maintain meaningful communication between Action Groups and the Policy Board by submitting reports on Action Group activities at all Policy Board meetings; and

(9) Help secure financial, human, legal, technical, and other resources deemed necessary by member organizations and through organizations outside of the collaborative.

Action Group Member Responsibilities

(1) Meet as needed as a representative of a member organization, on as an interested individual, to prepare action plans for implementing the collaborative's goals;

(2) Be prepared for meetings by reading relevant meeting materials and being knowledgeable about the collaborative's activities;

(3) Help secure financial, human, legal, technical, and other resources deemed necessary within member organizations and through organizations outside of the collaborative;

(4) Work with staff to implement action plans by contributing time, expertise, contacts, organizing support, and other staff related resources;

(5) Ensure that communication and activities are provided in an inclusive manner in a diversity of community settings;

(6) Encourage community participation by recruiting new members for Action Group activities; and

(7) Support the collaborative process by encouraging the full and active participation of other Action Group members.

Activity 10: Ensuring Shared Power

In forming the collaborative empowerment structure, it is useful to begin with a relatively few community-based organizations negotiating with a small number of institutions from outside the community. This smaller group may first wish to form the collaborative's Executive Committee in order to establish basic ground rules, gain a measure of mutual trust, and formulate initial administrative processes. This Executive Committee can then agree upon the collaborative's goals and establish Action Groups to begin their implementation.

This also allows time for a "culture" of shared decision-making to emerge among the members of the collaborative. This culture could promote values in which power is measured not by how much control one wields, but by how much sharing one can foster. If power is shared rather than controlled, it can also slowly transform the behavior of members who may act in a hierarchial rather than a collaborative manner. The larger and more traditional the institutional partners, the greater the importance of establishing this culture of collaboration.

To emphasize the empowerment nature of the collaborative, a representative of a community-based organization should serve as the chair or as the vice chair of the Executive Committee. These are key positions because, in the collaborative empowerment model, the chair and vice chair of the Executive Committee hold the same positions on the Policy Board. In addition to the chair, the model calls for vice chairs for administration (moitors management and staffing) and program (assists Action Groups), a secretary, and a treasurer as its other officers. Again, all these officers hold the same positions on both the Executive Committee and the Policy Board; therefore, at least two of these officers should come from community-based organizations.

To the degree possible, community-based organizations negotiate to maintain parity representation, as the Executive Committee is expanded and the Policy Board is formed, with representatives from institutions based outside the community. For example, there should be ten community-based organizations represented on the Policy Board if there are ten from large or influential public, private, or nonprofit organizations from outside the community. The formation of a Policy Board brings with it another very sensitive set of issues because the Executive Committee usually finds that adding another structural element is often problematic. It is recommended that, if it appears appropriate to add a Policy Board to a collaborative, it be done by adding a few members at a time so that they can be slowly integrated into the collaborative process which may well be quite different from their own organizational process. Again, each member of the Policy Board and Executive Committee represents his or her organization. Ideally, each organizational representative has decision-making authority, direct or delegated, for his or her organization.

Activity 11: Offering Contributions and Overcoming Barriers

Once the community-based organizations and institutional partners agree on a governance and administrative structure, they begin discussing both what contributions each member can make in support of the collaborative's mission and what barriers exist that might limit such contributions. Whenever possible, the barriers (problems) that make contributions by particular organizations difficult are viewed as problem-solving opportunities for all partners to engage in together. This reinforces the collaborative's "ethic" and operating style and, in a vital way, provides evidence that collaborative efforts can not only enhance the capacities of individual organizations, but can also resolve specific conflicts.

Community-based organizations can ask members to complete a survey form with information such as name, address, telephone number, a summary of key interests or concerns, and some specific ways that they see their sector (public, private, or nonprofit), their organization, and themselves, as individuals, as being able to be of assistance to the collaborative. These forms can then be compiled and distributed to all members as a resource directory. Again, this reinforces the cumulative, enhancing effect of common resources and makes communication among members easier.

Activity 12: Formulating Goals

In the collaborative empowerment model, there are two basic kinds of goals to set: (1) set goals that vary widely depending upon the particular mission and issues being addressed;

or (2) set "generic" goals that are applicable regardless of the mission or issues being addressed. The examples below illustrate how these options could apply to a child care collaborative.

In one case, the collaborative could set goals to: (1) increase the provision of community-based child care centers; (2) improve the integration of diverse child care services; and (3) enhance community participation in the design and implementation of child care services. In another case, the collaborative could choose to set broad, overall or generic goals to: (1) provide research - information - community education (on child care issues); (2) support program innovations and services that demonstrate improved program delivery (of child care services); and (3) advocate for policy changes (that could improve the health and welfare of children and families).

Collaborative empowerment generic goals focus on: (1) research, information, and community education; (2) program innovations and demonstrations; and (3) policy advocacy and change. The major advantage in using generic goals is that they simplify the collaborative process while, when connected to specific action plans (objectives), they still allow a focus on detailed subject matter.

The collaborative empowerment model recommends that only three major goals be selected. This recommendation is based on evidence that the inherent complexity of collaboration needs to be made simpler, whenever possible, for the process to be effective. If three goals are well selected, even in generic form, they can provide substantial substance. In addition, focusing on fewer goals increases the likelihood that results can be achieved in a timely manner, and this is a major factor in maintaining the momentum of a collaborative effort.

Activity 13: Linking Goals to Objectives or Action Plans

Linking the goals of the collaborative to clear objectives and to implementation strategies (called "action plans" in the collaborative empowerment model) is vital. In this activity, the clarity and specificity necessary to give the collaborative substance and credibility is provided in a way that also emphasizes community participation. Action plans are prepared by a separate Action Group for each goal. Each Action Group is convened by a member of the collaborative's Executive Committee and open to all members of the collaborative and anyone who wishes to join from the larger community. Those interested in serving as an Action Group convener will find the job description below helpful.

Action Group Convener Responsibilities

(1) Serve as a member of the collaborative's Policy Board and Executive Committee;

(2) Be prepared for the collaborative's meetings by reading relevant meeting materials and being knowledgeable about its overall activities and processes;

(3) With the assistance of the collaborative's staff, convene Action Group meetings to prepare work plans (activities) to implement specific goals;

(4) With the assistance of staff, link specific work plan activities to specific organizational members of the Action Group so that all activities can be implemented in a clear and timely way;

(5) Work with staff and other Action Group members to provide necessary staff support for the implementation of Action Group activities;

(6) Serve as a facilitator of participatory discussion and decision-making in Action Group meetings;

(7) Provide monthly progress reports on Action Group activities to the collaborative's Executive Committee, and quarterly progress reports to the Policy Board; and

(8) Work with other Action Group members and staff to encourage diversity in Action Group membership and strong relationships with community-based organizations.

In the collaborative empowerment model, all plans of an Action Group are directly linked to an organization in the collaborative. For example, if an action plan states that a speakers' bureau is to be established to provide community education and information, the objective or activity is linked to a specific organization in the collaborative. The organization so identified will then either implement the activity through its own resources alone or, more likely, take responsibility for implementing the activity with both the organization's own resources and the help of others.

Again, the convener of each Action Group indicates that periodic reports, to be shared with all members of the Action Group, are expected on each action plan. The Action Group convener provides summaries of these reports, including what progress is being made and what difficulties are limiting success, to the Executive Committee every month and to the Policy Board every three months. The convener's reports to the Executive Committee and the Policy Board provide ongoing communications and serve as a source of recommendations for how the Executive Committee and Policy Board can assist the Action Groups in their efforts.

Activity 14: Implementing Plans and Securing Staffing

In order to increase the involvement and ownership of community members, the collaborative's action plans are continually discussed in both public forums and in informal ways with members of the community to engender their support. In empowerment processes, action plans are not implemented without community support. To ensure good communications, all action plans should explicitly delineate time lines, assessment criteria, and indications of financial requirements whenever possible. It also is helpful if action plans include an assessment of staffing needs, and indications whether staffing needs can be provided within the collaborative or must be met through outside funding. The collaborative's staff should be chosen for their competence and experience, not simply for traditional credentials. Staff members report to the Policy Board quarterly, the Executive Committee monthly, and to the chair of the Policy Board on an as-needed basis.

Activity 15: Evaluating the Collaborative

For many reasons, a process as complex as multisector collaboration can be difficult to evaluate. However, if the collaborative process is designed with clear goals and action plans (which can include specific outcomes and time lines), an evaluation plan can be constructed more easily. An evaluation plan can be found on pages 67-71 for a multisector collaboration empowerment process which addresses community-based housing and economic development issues. Many of the criteria and indicators can also be used, or modified to be useful, for collaboratives addressing other community issues. In the collaborative empowerment model, community-based organizations emphasize the importance of evaluation because it provides for periodic and public monitoring of both the processes and products of multisector, community-based collaboration.

Activity 16: Concluding the Collaborative with Ongoing Capacity

Community representatives negotiate the termination of a collaborative in a manner that can result in increased community self-determination and self-reliance. If possible, the community seeks to retain a combination of financial, human, and technical resources that can be sustained in the community after the collaborative concludes. For example, indicators that a collaborative created to provide affordable housing also empowered a community might include the degree to which: (1) ongoing operating support and better access to development funding packages was secured; (2) technical expertise was increased; (3) reliable linkages between affordable housing and related employment and social services for community residents were created or improved; and (4) more community residents made better decisions about the future of their communities. An excellent resource on capacity building, and evaluating how this can be monitored, is Rainbow Research, 621 West Lake, Minneapolis, MN 55408 (612/824-0724)

BALANCING ADMINISTRATION AND PARTICIPATION

The collaborative empowerment process requires a careful balancing of the tensions between policy development/program implementation and participation from the community at-large. The collaborative must value both equally by: (1) using the Policy Board, Executive Committee, and staff of the collaborative to ensure the continuity of administration; and (2) using the Action Groups and staff to invite and encourage ongoing community participation. Most organizations, formal or informal, tend to emphasize only of these important components rather than to balance both. As a result, many organizations are either very management-oriented or very participation-oriented. In multisector collaboration, a focus on just one of components rather than on the integration of both tends to move the collaborative toward bureaucracy or chaos.

COLLABORATIVE EMPOWERMENT IN PRACTICE

The practice of collaborative empowerment varies greatly. Portions and variations of the processes described in this paper are being applied in Minnesota. However, examples of less structured collaborative empowerment processes have been in existence for some time both in Minnesota and in communities across the country. An excellent illustration is the Passport Awarded for Staying in School Plan (PASS Plan) in Passaic and Paterson, New Jersey. Passaic and Paterson are low to moderate income, racially diverse communities and both have community-based organizations engaged in social change efforts. In the fall of 1986, The Paterson Interfaith Communities Organization (PICO) and the United Passaic Organization (UPO) began working on ways to combat drugs and increase educational and employment possibilities for young people. This work was encouraged by a five year grant commitment by the Charles Steward Mott Foundation which, in turn, provided funds for regranting through The Community Foundation of New Jersey. In addition to grant funds, The Community Foundation of New Jersey provided technical assistance to the community groups.

PICO and UPO designed their educational program called the PASS Plan after a series of meetings with local banks and corporations, and the Paterson and Passaic school systems. A bold, new educational initiative was needed because large numbers of African-American and Hispanic youth in these two cities were not finishing high school. As a result, at a time when New Jersey was creating many new jobs, far too few low-income students or students of color were able to join the labor force.

Community residents, taking advantage of the provisions of the Community Reinvestment Act, met with and persuaded key banking leaders to join the community's PASS Plan. The community groups, with the help of the bankers, also secured the involvement of school officials. The PASS Plan includes four key components:

1. Students enter the program during their junior year in high school. They are required to maintain a C or better grade point average, have no more than five unexcused school absences, pass their high school proficiency test exam, and attend all PASS Plan Club meetings with their sponsors/mentors. In return, upon graduation, one of the participating businesses guarantees students a job with advancement potential.

2. Community representatives or sponsors/mentors are required to attend four days of leadership training (three away in a hotel and another follow-up training day), actively participate in student recruitment,

attend and lead group meetings with their students every six weeks, and have at least one personal contact with students every two weeks.

3. Business members are required to support the PASS Plan financially, participate actively as members on the Steering Committee and in the recruitment of students, and make available entry level jobs with advancement potential to all PASS Plan graduates.

4. Boards of Education/local high schools are required to assist with student recruitment and make assembly time and class time available to adult PASS Plan representatives, maintain student records, and make them available to PASS Plan administrators (with parental consent), and participate actively as members of the PASS Plan Steering Committee.

THE COLLABORATIVE EMPOWERMENT VISION

It is important to reiterate that a collaborative empowerment vision includes community-based organizations shaping and facilitating a community change process with larger public and private institutions that normally would dominate community interests. PICO and UPO's vision includes their organizations leading an effort to free young people from drug abuse, gain the confidence and motivation to complete high school, and find employment with a future, and/or further educational opportunities upon graduation.

UPO and PICO's vision grew from discussions about the values community people share, their concerns about the problems facing young people in their community, and from forcefully engaging local banks and schools in their discussions and actions. This vision became a community-wide reality that provided hundreds of young people with new opportunities for success, and which is broadly shared by students, teachers and other school officials, parents, community activists, business people, and governmental officials throughout Passaic and Paterson.

The work of the American Indian Business Development Corporation (AIBDC) in Minneapolis provides another excellent example of how a vision can sustain a collaborative empowerment effort. The AIBDC is a nonprofit economic development corporation created in 1975. Its purpose is to revitalize an inner-city area which is inhabited by the largest number of American Indian people in Minneapolis, substantial populations of other people of color, and many low-income people. The AIBDC has reversed a long-term trend of commercial strip deterioration on the East Franklin Avenue section of Minneapolis. By 1975, East Franklin had become an "island" cut-off by freeways on which failing businesses were replaced by bars, liquor stores, social service agencies, a plasma center, a pornographic theater, and many deteriorating buildings.

Led by Brenda St. Germaine, an inspirational and skilled executive director, AIBDC envisioned a completely new two-block section of East Franklin Avenue. It included a shopping center and other businesses providing goods, services, and employment for neighborhood residents, as well as collaborative working relationships with federal and local government, banks, corporations, foundations, and other nonprofit organizations. Although AIBDC's vision was tested many times over the next several years, it sustained AIBDC's hard work until the $3,000,000 Franklin Circles shopping center opened in 1982. In 1989, Franklin Circles was joined by AIBDC's second multi-million dollar effort, the Franklin Business Center which specializes in fostering businesses owned by people of color. Both of these major revitalization projects resulted from a clear and powerful vision that continues today as AIBDC engages in a third major community initiative.

The work of the AIBDC now involves new discussions of how it can join other organizations in creating new ideas for initiatives in its neighborhood. However, as the climate for community change grows more difficult, AIBDC and similar organizations across the country are finding collaboration building more complicated. This suggests that more effective models and processes for community-based collaborative initiatives must be invented to foster community change.

TRANSFORMING A BETTERMENT TO AN EMPOWERMENT COLLABORATIVE

When attempting to transform a betterment collaborative into an empowerment collaborative, it is important to consider and discuss the relationship of collaboration to social change and social justice. As has been discussed previously, empowering communities and neighborhoods with the assistance of larger public, private, and nonprofit institutions, is not a simple matter of organizational or management techniques. This kind of transformation must encourage and respect a diversity of values and beliefs, and promote shared power to achieve common purposes. When collaboration moves from betterment to empowerment, both large institutions and community organizations are challenged to change their practices.

The transformation of betterment processes into empowerment processes is often quite complicated even if those involved have the best intentions. In large part, this is because institutions transforming a betterment process usually cannot easily secure the confidence and trust of those whom they initially excluded. In addition to overcoming mistrust, the institutions seeking to move toward sharing power and decision-making with community-based organizations also need to redesign their collaborative plans with the active and meaningful participation of community-based organizations.

Even with such difficulties, however, the transformation of betterment into empowerment processes is highly important if collaboration is to lead to significant societal change. It is achievable if organizations are committed to enhancing each other's capacity for a common purpose. The following summary of key principles in this transformation is not fully detailed because, once the basic shift to empowerment has been made, the process can closely follow the activities described previously under the collaborative empowerment process.

BETTERMENT-EMPOWERMENT TRANSFORMATION: KEY PRINCIPLES

- Large and influential institutions initiate problem identification and analysis, primarily within institutional frameworks, assumptions, and value systems.
- Funding often requires community-based participation as a central aspect of the collaborative process.
- Governance and administration, initially controlled by institutions, gradually become fully shared with community-based organizations.
- Staff, initially responsible to specific institutions, eventually become responsible to the governance shared among all of the institutions and community-based organizations.
- Goals are reconsidered and action plans are redesigned to fully reflect community involvement and a balance between the ideas of representatives of large institutions and community-based organizations.
- Implementation processes are reconsidered to include full community representation and acceptance, and community organizations move from advisors to full partners in implementing decisions.
- The governance and administrative structure includes Action Groups for implementing plans, an Executive Committee, possibly a Policy Board, and staff agreeable to the community to assist the collaborative.
- Substantial attention is given to the balancing of administration/management goals and community participation goals.

- Commitments to assessment and evaluation in public settings provide community-based organizations with opportunities for monitoring the progress of the collaborative.
- The community gains a good measure of control of the resources needed to continue efforts beyond the termination of the collaborative.
- The decision to terminate the collaborative is made jointly by the institutions that initiated, and community-based organizations that joined, the collaborative.

One example of a betterment to empowerment transformation is currently taking place in Hennepin County, the largest county in Minnesota. Hennepin County is a recipient of a multi-year federal (OSAP) grant to reduce tobacco, alcohol, and other drug abuse through a community-wide prevention collaborative. Initially, partly because of the way such federal grants are made, Hennepin County viewed the collaborative (Community Prevention Coalition - CPC) as one of its "projects." However, when community-based organizations were invited to join the CPC, they were not interested in playing the traditional advisory role consistent with a collaborative betterment process. As community-based organizations became more convinced of the possibilities of real power-sharing with Hennepin County, they pushed the CPC to establish governance procedures that include much of the collaborative empowerment model's structure and process. To its credit, Hennepin County now views itself as a partner among equal partners while serving as one of many decision-makers on the CPC Executive Committee, and it strongly supports the CPC's community-based focus.

COLLABORATIVE ROLES FOR LOCAL GOVERNMENT

Local governments play a wide variety of roles in collaborative initiatives. The following are among the most common local governmental collaborative roles. These roles are not mutually exclusive; one role often leads to or is integrated into another.

Convener

Like foundations, large nonprofits, and some corporations, local governments play the role of community conveners on significant issues that may, or may not, result in further community action. The convening role usually includes a highly visible public discussion of community issues. These discussions are often related to data gathering or studies which provide information intended to highlight a common understanding of the issues at hand. Such discussions are important prerequisites for collaborative community problem-solving.

Catalyst

Local governments may use the convening role to stimulate discussion but may have a longer-term strategy in mind. When local government is catalytic it means that it makes an early and clear commitment to participate in longer-term community problem-solving that begins with an initial discussions of issues. In this way, it uses its considerable influence and resource base to make the collaborative initiative "real" in the minds of various other potential partners who may be waiting for leadership before making their own commitments to an action agenda.

Conduit

Local governments may serve as conduits for the funding that is essential for collaborative action. For example, many federal grants require a local government to be the "lead agency" in providing grants for local collaborative initiatives. A similar situation occurs when foundations make grants with the condition that a local governmental agency be a lead partner. This stipulation can be very problematic, however, if the local government's conduit role appears to be, or is in fact, a way for it to dominate a collaborative process because of its fiscal role. This can result in conflicts related to power on the surface and to trust as a deeper undercurrent.

Funder

Local governments may wish to encourage a variety of collaborative activities by being a funder, either alone or with other funding sources, of such activities. This is an increasingly common practice but, again, one with complexities. Many recipients of such funding find that funders - local government included - fail to understand that a collaborative is more than a proposal to which many organizations attach letters of endorsement. What must be made clear is that it takes time for organizations to create a well designed, mutually respectful and trusting collaborative; unfortunately, funders often are not aware of this and, as a result, fail to provide such time.

Technical Assistance Provider

Local governments have substantial human and technical resources available to them which can be made available to community-based organizations to assist them in creating and sustaining collaborative efforts. These resources include, among others, data retrieval, new research and information gathering, planning expertise, meeting space, legal opinions, other specific expertise on a wide variety of subjects, access to information and assistance in preparing funding applications, and lobbying assistance. Local government does not have to be a highly visible or formal partner in collaborative efforts to provide many kinds of technical assistance.

Capacity Builder

Capacity building is usually part of longer-term local governmental strategy to increase the ability of community and neighborhood-based organizations to initiate and effectively follow through on problem-solving processes that, to a large extent, community and neighborhood-based organizations can determine. Capacity building would be a primary goal of a local government that chose to encourage empowerment, rather than betterment, strategies.

Capacity building can take many forms but usually includes: (1) acknowledging the important contributions of others; (2) inquiring about and, whenever possible, providing specific requested skill-development opportunities for those interested; (3) being honest and open about motivations and being realistic about what can and cannot be provided in what amount of time; (4) facilitating user-friendly access to resources that normally may be restricted to those only with power, status, or money; and (5) sharing risks when others may find themselves in situations that they perceive to be dangerous or threatening to their well being.

In a collaborative empowerment strategy, local government is not afraid of increasing the power of communities and neighborhoods in relationship to the power that historically was more heavily based in city hall and "downtown" power structures. To the contrary: this strategy proclaims that the primary task of government is to increase power-sharing and community ownership rather than to retain power as a method of control.

Partner

This would appear to be the most obvious role for local government in a collaborative, but, as has been noted, the way that this role is played greatly affects the quality of the collaborative process and the likely outcomes of its activities. If local government plays its partner role as part of a betterment strategy, it may could find that it has made progress on key community issues. However, given the limitations of a betterment process in relationship to fully sharing the ownership of the collaborative's activities and outcomes, it may well find its partner role leading to relatively short-term successes. The sustainability of the betterment effort may be very difficult, while there is also the real possibility that a collaborative with relatively little power-sharing will elicit strong explicit opposition or meet apathetic responses.

As has been noted, empowering partners

share risks, responsibilities, resources, and rewards in collaborative efforts. They establish mutually respectful, trusting relationships, take the time to understand each other's motivations and hoped for accomplishments, and state problems in a manner that provides opportunities for others to share in their solutions.

Facilitator

In this role, local government attempts to help make possible collaborative, community problem-solving efforts among nonprofit, business, labor, religious, academic, and other organizations. This can be difficult when local government, itself, is also a key partner because the facilitator role may be perceived as another way of adding greater decision-making authority to local government's role. When it works well, however, local government is valued as a source of fairness, encouragement, and as a resource to all those who might need it in the collaborative process.

SOME GENERAL OBSERVATIONS ABOUT MULTISECTOR COLLABORATION

In addition to considering the specific characteristics of the betterment and empowerment models, and the roles that local government can play in collaborative community problem-solving, it is also useful to review some of the general characteristics of multisector collaboration. The following observations are offered to help distill these qualities and encourage thinking about collaborative processes.

- Collaboration requires maturity beyond an ego-centered stage of development. People too immature to work together by sharing information, resources, power, and visions for a common good make poor collaborative partners.
- Multisector collaboration is part of a long historical tradition in which the roles and responsibilities of the public, private, and nonprofit sectors have been debated and changed many times. In creating new collaborative efforts, the historical, philosophical, and political assumptions about the roles and responsibilities of each sector should be carefully considered.
- Multisector collaboration is not easy. Because of its complexity, it is not an appropriate strategy for many of the problems that emerge within communities. This means that considerable caution should be used before adopting this community problem-solving approach. It often takes a great deal of time; substantial patience is essential.
- To be effective, collaboration often requires occasional or longer-term facilitation in addition to staffing to be effective. Facilitators of collaboration can serve as impartial observers of process and can offer key recommendations for improving processes.
- Community-based collaborative efforts can be used to empower communities while also addressing specific needs - like affordable housing - _if_ they are originally designed with this dual mission in mind. The empowerment of communities should _begin_ in the community, and be guided by community members who will share real power with larger institutions.
- Collaboratives designed to better communities, but not to empower them, should not be discounted. In general, these collaboratives do good things for people. It is important, however, to be clear about what kinds of processes produce what kinds of results, and not let rhetoric about empowerment cover what, in fact, is a traditional betterment service model.
- It is important to the viability of a collaborative that members bring organizational resources with them. For this reason, individuals who participate in collaboratives are most effective if they represent organizations rather than only themselves.
- Public and private grantmaking

organizations often fail to understand the time and processes required to create and sustain collaboratives. In particular, most funding sources set application deadlines that do not provide sufficient pre-collaborative planning time for organizations to establish necessary trust and working relationships. Unless funding sources provide this time, they will needlessly force together organizations which have only funding as their primary purpose for collaboration.

- Collaboration requires the creation of a common vision so that the direction and possible outcomes of the effort can be seen from the outset. It should also seek to use mutually agreeable forms of communication so that the specialized terminology from different community, public, private, or nonprofit sectors does not impair the collaborative's members ability to fully understand each other.
- The importance of trust and its role in encouraging the sharing information and expertise among all participants should be reinforced. Without consistent manifestations of these values, a collaborative can be reduced to an ineffective group process in which participants merely criticize and present problems without taking responsibility for working together to develop positive alternatives for future actions.
- There should be no "they" in a collaborative; the collaborative is "we." Collaboratives are not bureaucracies in which directions are given by one partner to another. Shared responsibility and accountability should be at the core of all problem-identification and problem-solving activities.
- Consistent attendance at meetings is essential, as is the need that "homework" be done between meetings, because there is no day-to-day organizational environment to maintain the continuity of activities among members.
- Communication within participating organizations is as important as communication among participating organizations. Individual organization members have a responsibility to coordinate their overall participation internally so that their contributions in collaborative meetings are effective and coherent from their partners' points of view.
- Smooth transitions in the replacement of organizational representatives are very important to the effectiveness of a collaborative process. When organizations replace their representatives, they should provide as much advance notice as possible and fully prepare their new representatives for the responsibilities they will undertake.
- Adequate staffing is essential, whether contributed voluntarily by members of participating organizations or through paid staff. Collaboration includes numerous tasks that must be performed in a timely and effective manner. Such tasks require staffing support and cannot be left to chance. When selecting and working with staff, collaborative members should keep in mind staff's difficult role in collaboration: they are expected to contribute their expertise without taking control of the process.
- Clarity in the collaborative's governance structure and lines of accountability is essential to ensure that the inherent complexity of the collaborative process does not result in confusion.
- Communication among collaborative members should be continually fine-tuned so that the collaborative knows what it is doing and can easily explain its activities to those not directly involved.
- Collaboratives should emphasize communication with diverse constituencies as well as provide opportunities for participation by those normally excluded

from traditional processes. This is particularly important if community-based collaboration is to become a useful strategy for addressing class, race, gender, and other forms of oppressive discrimination.

- Organizations participating in collaborative efforts would do well to "walk their talk" by reflecting collaborative and supportive policies and practices within their own organizational settings. There is a close relationship between how it feels to be part of an organization and how that organization participates in community problem-solving activities.
- Community-based collaboration is well suited to participation from a diverse array of constituencies and, as numerous examples show, can do a great deal to empower communities as well as to provide much-needed jobs, economic development, community services, and affordable housing. Its ultimate usefulness depends, however, on the quality and substance of its ongoing linkages between local and community-based efforts and connections to larger issues of public policy.
- Those seeking to participate in collaboratives as leaders, organizers, facilitators, and members should discuss and practice participatory, democratic processes. In collaborative efforts, participatory and inclusive processes require sharing power meaningfully, and can help us to expand our democratic capacities.
- Common courtesy is one of the most essential characteristics of collaboration. This includes returning the calls of those who contact you, acknowledging written correspondence rather than ignoring it, listening to people and well as speaking to them, and treating people as you would like them to treat you.

Local Community-based Collaboration and National Commitments

In closing, this discussion of collaboration must again emphasize that, if community-based collaboratives are given sufficient support, they can turn serious social and economic problems into opportunities for positive social change at the individual, community, and societal levels. As part of this support, we should work to improve collaborative processes that empower community-based organizations so that their ownership both of the processes and products of collaboration will help sustain community change efforts over the long-term. In this sense, community-based collaboration can address the social and economic injustices across our nation that increasingly cry out for attention and demand action.

If community-based efforts are to be fully successful, however, new partnerships with the federal government will also have to be created. Because of the magnitude of funding needed to solve our major social problems, local efforts alone can never suffice. Only with the federal government's support can states and local communities adequately meet human needs for health care, child development, education, employment, and affordable housing.

To do this we must make a national commitment to provide for such human needs as the universal benefits of citizenship. We must create a commitment to enhance each other's human capacities, both for our common good as a nation and because of the growing global recognition that we cannot save our fragile planet without a little help from our friends.

AN EVALUATION FRAMEWORK FOR MULTISECTOR COLLABORATION

Criteria and Indicators for Evaluating Multisector Collaboratives which are Focused on Community-based Housing and Economic Development

NOTE:
The following criteria and indicators can be used for evaluating collaboratives focused on community-based housing and economic development efforts but, with appropriate modification for subject content, could also be used for collaboration on other topics.

CRITERIA: Initiation and Design

- Clarity of issues stimulating community action
- Clarity of vision suggesting common agenda/actions
- Quantity and quality of participants willing to join efforts
- Quality of selection process of participants
- Usefulness and effectiveness of model for partnership participation, governance, and accountability
- Clarity and acceptance of outcome measures for outcomes or results

CRITERIA: Empowerment

- Degree to which those most affected by the collaborative's mission, goals, and actions shape the mission, goals, and actions
- Degree to which low-income people, people of color, and women hold leadership positions
- Degree to which leadership is based on non-financial criteria
- Quality and quantity of information shared among all members of the collaborative
- Quality and extent of community organizing and community education encouraged and provided by the collaborative
- Degree to which language, data, information and other forms of communication encourage grassroots participation
- Quality and quantity of long-term resources retained by those who were without them at the collaborative's initiation

CRITERIA: Facilitation

- Clarity of partnership processes and organizational structure
- Quality of data, information, research, and other forms of communication provided
- Success in achieving the trust of the collaborative's participants
- Success in serving as a liaison for mediation and negotiation among participants
- Quantity and quality of internal and external resources identified and provided by collaborative participants
- Degree to which traditionally underrepresented organizations and individuals play a significant role
- Timeliness and quality of the partnership members' oral presentations and written communications
- Degree to which both policy and program goals and objectives are achieved

CRITERIA: Policy Change

- Degree to which public, private, and/or nonprofit policy makers are members
- Degree to which public, private, and/or nonprofit policy makers are committed to partnership mission and goals
- Clarity of policy change goals and objectives
- Quality and quantity of policy changes identified and achieved
- Quality and effectiveness of monitoring and evaluation of policy changes over short and long-term

Correspondence of policy change to programmatic change

- General community awareness and support of policy change goals, objectives, and achievements by partnership

CRITERIA: Program Improvements

- Significance and clarity of program improvements identified
- Significance and quantity of program improvements achieved
- Cost effectiveness of program improvements
- Level of support, within and outside the partnership, for the program improvements identified and achieved
- Quality of long-term monitoring and evaluation of program improvements
- Degree to which program clients are included in decisions about program improvements, monitoring, and evaluation
- Degree to which program improvements are coordinated with human, financial, and technical resources outside of housing and economic development
- Degree to which program improvements are linked with policy implications and policy changes where appropriate

CRITERIA: Products and Results

Quantity and quality of affordable housing units preserved, improved, maintained, and constructed

- Quantity and quality of affordable housing units provided to (1) very low income; (2) low income; and (3) moderate income individuals and families
- Quality of the management provided to affordable housing units
- Amount/ratio of private investments and grants leveraged by federal and other public funding
- Increase of equity and other forms of financial resources available to those without them prior to the collaborative
- Number and quality of jobs created
- Number and quality of jobs provided to low-income people, people of color, women, and residents of disadvantaged communities
- Number of jobs created with career development possibilities
- Quality of the coordination of job training, educational opportunities, and human services with affordable housing and economic development
- Amount and quality of commercial development created
- Number and significance to the community of small business and services provided
- Long-term viability of businesses created
- Degree to which businesses and economic developments are considered community as well as individual resources

CRITERIA: Quality of Collaborative Participation

- Diversity of participation from community, public, private, and nonprofit sectors
- Level of decision-making authority that members have within their "home" organization that can contribute to the success of the collaborative
- Quantity and quality of decisions made on behalf of collaborative
- Quality of power sharing among membership
- Quantity and quality of public policy changes encouraged and achieved by the collaborative
- Quantity and quality of financial, human, and technical resources contributed by the collaborative's members
- Effectiveness of communication among members
- Quantity and quality of knowledge and skills shared among members and level of new learning gained by members
- Quantity and quality of members' oral and written presentations by membership for internal and external purposes

ARTHUR TUROVH HIMMELMAN

Arthur T. Himmelman is president of The HIMMELMAN Consulting Group (THCG), a firm focused on the design and facilitation of multisector (public/private/nonprofit) community-based collaboration. Prior to founding THCG, Himmelman was a senior fellow at the Humphrey Institute of Public Affairs of the University of Minnesota where he wrote, taught, and consulted on community-based collaboration.

Himmelman's work grew out of the Public/Private Initiative Project (P/PIP), an innovative demonstration project that he created and directed at the Humphrey Institute. P/PIP conducted research, provided new course work, served as a catalyst for new collaboratives linked with extensive P/PIP technical assistance, and sponsored community forums about collaborative efforts on a variety of issues. His graduate level course developed at the Humphrey Institute, Multisector Collaboration and Community Empowerment, is among few such courses in the country. This course, combined with his other courses on nonprofit organizations and philanthropy, comprised a major part of the Humphrey Institute's curriculum on nonprofits.

Himmelman's work is focused on the design and facilitation of collaborative processes in which community-based organizations can gain both tangible products and greater empowerment in partnerships with larger public, private, and nonprofit institutions. He has worked extensively with collaboratives focused on hunger and homelessness, affordable housing, adult vulnerability, minority education, social investment/community-based development, early childhood development and health care, adult literacy, and drug and alcohol abuse prevention.

Himmelman has consulted and made presentations nationally for numerous academic, philanthropic, and professional organizations, including many local governmental and community-based nonprofit organizations. Prior to coming to the Humphrey Institute, Himmelman was a senior program officer at The McKnight Foundation and at The Saint Paul Foundation. He also organized and directed several community-based educational programs and collaborative efforts serving inner-city adults for colleges and universities. Among his volunteer activities, Himmelman is board vice president of a battered women's shelter and a public housing community center.

The HIMMELMAN Consulting Group (THCG) is dedicated to resolving barriers to collaboration and helping communities link with larger public, private, and nonprofit organizations to collaboratively identify and solve community problems. THCG helps make collaboration effective by providing:

- Presentations/discussions for those who wish to better understand the larger context in which community-based collaboration takes place and various models of community-based collaboration;
- Professional development workshops on the barriers to and opportunitiesfor community-based collaboration, including detailed discussions of effective collaborative processes; and
- Extensive assistance in the design and longer-term facilitation of user-friendly, community-based collaborative initiatives.

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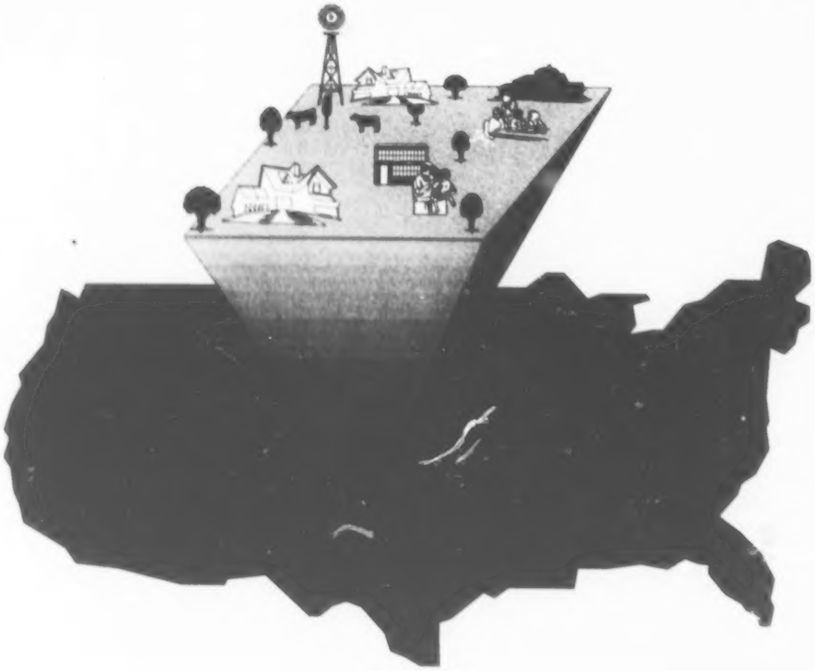
COMMUNITY ASSESSMENT



What business are we in? Who, really, are our stakeholders? What resources are available?

BEST COPY AVAILABLE

GOAL

To answer three questions: What business are we in? Who, really, are our stakeholders? What resources are available?

Team members complete a community assessment by building a data map and conducting focus groups, surveys or site visits with consumers and service providers.

OVERVIEW OF CRITICAL EVENTS

☐ A community map is created with each participant's input.

☐ A panel of community "experts" from local government agencies, non-profit organizations, and citizen-based service organizations discuss the community from their perspective.

☐ After a tour of a community reform effort or service agency, team members join staff (over lunch) for roundtable discussions to hear their views of the community in which they work.

☐ Explore with consumer focus groups their views on needs and services.

TODAY'S OBJECTIVES

☐ To design a community data map.

☐ To learn about the needs of children and families, and how well local agencies are meeting those needs.

☐ To practice interpreting data.

☐ To explore what services exist, and what gaps and overlaps make it difficult for children and families to get help.

- ☐ To gain mutual understanding among staff in education and social services systems.
- ☐ To hear how consumers and providers view the system.
- ☐ To begin answering the question: How can we work collaboratively to better serve children and their families?

RESOURCES

- ☐ Dimock, Hedley, G. *Chapter 2, "Understanding Group Structure,"* Groups: Leadership and Group Development. San Diego: University Associates, Inc. 1987.

Community:

- ☐ Caring Communities: Supporting Young Children and Families. Alexandria, VA: The Report of the National Task Force on School Readiness, National Association of State Boards of Education, December 1991.
- ☐ Gardner, John, Building Community. Washington, D.C.: Independent Sector, 1991.
- ☐ Moore, Linda R. "Re-defining, Re-inventing, and Re-establishing Community," Equity and Choice. Vol.9 No.2, Winter 1993, pp. 5-9.

Consumers/Providers:

- ☐ Bruner, Charles, "Frontline Family Workers: The Role of the Family Development Specialist," Des Moines: Child and Family Policy Center, August 1991.
- ☐ Listening to Mothers' Voices. Washington, D.C.: Education Writers Association, 1992.

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Data Collection:

☐ Charting A Course: Assessing a Community's Strengths and Needs. National Center for Service Integration, 1993.

☐ Kidscount Data Book. Washington,D.C.: Center for the Study of Social Policy, 1992.

☐ McKnight, John L. and John Kretzmann, Mapping Community Capacity. Evanston, IL: Center for Urban Affairs and Policy Research, Northwestern University.

☐ Outtz, Janice Hamilton. Understanding Demography: A Manual. Washington, D.C.: Center for Demographic Policy, 1992.

☐ Roberts, Nancy C. and Paula J. King, "The Stakeholder Audit Goes Public, " Organizational Dynamics. Vol. 17, Winter 1989, pp. 63-79.

HOMEWORK

○ Complete your reading assignments.

○ Following the examples and suggested indicators, compile data about the children and families served and types of services provided by your employing agency, school or organization.

○ Using the data, design your community's needs and assets map.

○ Complete planning arrangements as assigned.

○ Develop a stakeholder map for your agency, organization or community activity using the example on page 66 of the Roberts/King article.

"'What is our business?' is almost always a difficult question and the right answer is usually anything but obvious."
-- Thompson, Organizational Diagnosis

Facilitator's Notes

This Unit's goal: To help team members see a "cross-boundary" picture of community needs and services. To do this, you don't have to give them a "complete" picture immediately -- simply a good frame of reference for upcoming skill units.

As a result, you may not want to complete all the activities right away. The alternative? Do a broad brush approach, then review during Part III the actual implementation planning.

This unit itself is designed to take two (full-day) meetings, plus additional time for data collection and planning. You may want to use meeting time for planning and hold special evening or lunch meetings for the actual survey activities or have team members collect the information as homework.

Please note that the activities suggested here are just that -- suggestions. Revise them as you define the needs at your site. Example: it may be easier to interview front-line workers and conduct a site visit to a community reform effort. Focus groups may be more effective than interviews, or one-on-one interviews may seem more informative than a panel discussion.

At all times, have team members plan the site visits, interviews, and focus group arrangements. Encourage them to use their networks to select participants and sites. Also, encourage them to design the questions and format used for each event.

For homework, be specific -- especially for the mapping exercise. Warn them: They will have to gather data and fill in maps prior to the session.

To help you with all of this, sample maps and interview questions are attached (Attachments 3.3 - 3.7). These were developed by the Virginia CLP sites. You can revise them or create new ones. Please share your results with IEL.

CRITICAL EVENTS

Fish Bowl

Objectives:

- To examine how we understand our work with children and families.
- To gain mutual understanding among staff in education and social services systems.

Activities:

❖ Select two team members, one working in education and the other in social services. Seat them at table in the center of the room with other team members sitting in a circle around them. (You can advise them in advance so they can prepare their remarks.) Ask them to consider the following:

Choose a child that you have been concerned about, working with or know. Consider for that child and his/her family:

-- their current circumstances;
-- your hopes or desired outcomes for them;
-- what you know about their desires for themselves;
-- what you can't share because of confidentiality issues;
-- the number of services working with the child; and
-- one action that will make a difference.

After each has spoken, ask the team:

-- What did you learn?
-- What surprised you?
-- What do you want to know more about?
-- Were there differences and commonalities between the two sectors?

Record the responses to reproduce for the group's future reference.

Community Mapping

Objective:

- To design a community needs and assets map.

Activities:

❖ The group, using their individual maps and data, design a team community data grid and a needs and assets map. See attached samples.

Have materials on hand -- colored markers, tape, colored paper, scissors, graph paper -- and encourage team members to be creative and graphic.

Scale maps (block, tracts, etc.) for your area can be ordered from the Census Bureau by calling 202-763-4100. See examples (Attachments 3.2 - 3.3). Understanding Demography: A Manual by Janice Hamilton Outtz is also a useful resource. Use the **Indicators of How Children and Families are Doing** (Attachment 3.1) as a base and add additional site criteria as needed.

Note: Team members may need to spend some time discussing their definition or delineation of "community." Also, this activity can take several hours to complete. For larger groups, you may want to divide into smaller teams, or have some preliminary team work done prior to the session.

❖ Once group maps are complete, identify and mark service overlaps and gaps, areas of chronic need, and other significant observations. Note data gaps where information is missing.

○ Group Process: Ask the group to discuss each of the following questions:

-- Are individuals or groups more effective in accomplishing tasks?
-- As individuals, do you feel group pressure influences your decisions or behavior?

Community Experts Panel

Objective:

- To learn about the community's needs and resources from the viewpoint of local government agencies, non-profit organizations, and community-based service organizations.

Activities:

- Use a panel of high level officers (appropriate Policy Advisory Team members) from a local government agency, a non-profit organization, and a community-based service group who provide community services. Discuss the following questions and others developed by the site:
    - What business are we in?
    - Who are our stakeholders?
    - What resources are available?
- Following the presentation, team members present their map(s) to the panel. The facilitator (or designated team member) moderates a question and answer session.
- After the panel leaves, the team reacts (while facilitator charts on newsprint) to the presentation.
    - Were there differences and similarities (overlaps) in the presentations?
    - What did team members learn?

Community Agency Tour & Lunch

Objective:

- To learn about the community and the services delivery system from front-line workers' viewpoints.

Activities:

- Participants tour the facility. Person (Director or Deputy Director) leading the tour addresses the three key questions (and others developed by the team) from the agency's perspective.

- Participants have lunch (small groups at round tables) with agency front-line workers. Discussion once again focuses on the Unit's three key questions and other issues related to serving the community's/consumer's needs.

- Team members share information gathered from luncheon conversations using the key questions as an outline. (Also, see Attachments 3.5 and 3.7.)

- The following questions can also be considered:
    - How did the perceptions and responses of the front-line workers differ from those of the program directors -- "experts" -- if any?
    - Did the front-line workers have a different view of community needs and resources? If so, what were the differences?

Focus Groups

Objectives:

- To meet with consumers to learn about their experiences with the service delivery system and providers.

- To hear consumers' recommendations for change.

Activities:

- Team members meet in a focus group setting with consumers of the agencies and organizations providing an array of services.

  The following issues (and others determined by team members -- see Attachments 3.4 and 3.6) are explored during the conversation:
    - The consumer's experience (track record) in getting services...
    - Changes the consumer would recommend...

Stakeholder Audit

Objective:

- To review team members' stakeholders' maps.

Activities:

❖ Ask team members to review their original stakeholder maps (individually or in small groups). Have they included all the necessary stakeholders? Were some overlooked?

The Stakeholder Audit Questions (from the Nancy Roberts' article) and **List of Stakeholders Grid** (Attachment 3.8) may be helpful as a "post-test" or in establishing the original list.

Putting the Pieces Together

Objectives:

- To review the data to reflect the "best available" picture of the service delivery system.
- To begin answering the question: How can we work collaboratively to better serve children and families?

Activities:

❖ Working in groups of four, then in groups of eight, team members examine the following issues about providing better service to children and families:

-- What data is/is not available and what does it tell us?
-- What have we learned about our community?
-- What changes need to be made?
-- What are the barriers?
-- What resources do we have -- as a team?

❖ Groups of eight report to the large group. Note the similarities and differences, but leave the conclusion open-ended. Stress that during the next few months, issues and data will continue to emerge.

Wrap-Up & Preparation

Objective:

- To evaluate program outcomes to date.

Activity:

- Team members brainstorm responses to the following questions:

  -- What will you take back to our colleagues at work?
  -- How will you share with them in what you are learning?

- Hand out Resource and Homework materials for next session.

FEEDBACK FORM

IEL needs your feedback on the Facilitator's Guide to keep us on the cutting edge of training collaborative leaders. Please take a few minutes to reflect on this unit, the team members' reactions, and your suggestions for any changes. Thank you for answering the questions below and returning the form with your day's agenda and list of resources used. **Please fax them to Wendy Russell at 202-872-4050.** THANK YOU!

1. Which activities were most effective? Why?

2. What would you do differently, if you repeated this unit? Why?

3. Which resources did team members find useful, relevant?
   Did you supply additional ones? If so, what?

4. What were the team's key learnings?

5. What were your key learnings?

6. Other comments or suggestions?

FACILITATOR'S GUIDE TO RESOURCES

The following publications can be ordered from:

- ☐ Caring Communities: Supporting Young Children and Families. National Association of State Boards of Education (703-684-4000). $10.00
- ☐ Gardner, John. Building Community. Independent Sector (202-223-8100) $12.00
- ☐ McKnight, John L. Mapping Community Capacity. Center for Urban Affairs and Policy Research (708-491-3395). $4.00

The following publications can be ordered, then photo-copied:

- ☐ Charting A Course: Assessing a Community's Strengths and Needs. National Center for Service Integration (212-927-8793). $4.00
- ☐ Listening to Mother's Voices. Education Writers Association (202-429-9680). $10.00
- ☐ Outtz, Janice Hamilton. Understanding Demography: A Manual. Center for Demographic Policy (202-822-8405). $10.00
- ☐ Kidscount Data Book. Center for the Study of Social Policy (202-371-1565). Free

The following article **is attached** and can be photocopied:

- ☐ Bruner, Charles. "Frontline Family Workers: The Role of the Family Development Specialist."

The following articles can be found in local college libraries:

- ☐ Moore, Linda R. "Re-defining, Re-inventing, and Re-establishing Community," Equity and Choice. Vol.9, No.2, Winter 1993, pp. 5-9.
- ☐ Roberts, Nancy C, and Paula J. King. "The Stakeholder Audit Goes Public, "Organizational Dynamics. Vol.17, Winter 1989, pp. 63-79.

ATTACHMENTS

3.1 Indicators of How Children and Families are Doing

3.2 Data Sources for Needs Assessment

3.3 Samples of Data Grids and Scale Maps (pp.1-3)

3.4 Discussion Questions for Focus Groups: Consumers

3.5 Service Providers

3.6 Sample Interview Guides for Clients and Consumers (pp.1-8)

3.7 Sample Interview Guides for Agency Personnel (pp.1-7)

3.8 List of Stakeholders Grid

Indicators of How Children and Families Are Doing

The following indicators are some of the ways to measure the status of children and families. Whenever possible, these indicators should be broken down to show differences according to age, sex, household composition, income, and ethnic and minority group membership.

- Poverty rate
- Literacy or basic skills level
- Primary grade retention rates
- Student mobility rates
- Chronic absenteeism rates
- Percentage of 9th-grade students who finish the 12th grade on time
- Percentage of college-bound high school graduates
- Immunization rates for young children
- Percentage of babies with a low birth weight
- Reported and substantiated cases of abuse and neglect
- Number of foster care placements
- Number of people on day care waiting lists
- Number of new and reopened Aid to Families With Dependent Children (AFDC) cases
- Youth unemployment figures
- Juvenile incarceration rates
- Voter participation rates
- Housing mobility rates
- Percentage of substandard housing

Initiating Committees may then want to conduct some kind of needs assessment related to the purpose of the group. At this point, such assessment should be simple and informal. If recent needs assessments have already been done by other organizations, there is no need to reinvent the wheel. If the research is for the same population targeted by the collaboration, the Committee may want to use it for their needs assessment. If it is from national studies, the committee may want to extrapolate some local comparisons from the data or look for comparable local data. (Examples of places to look for data are provided in Figure 2: Data Sources for Needs Assessment.)

Another area for Committee exploration is whether organizations already exist which could cover the area of concern or that could broaden their focus to include the Committee's identified area of need. If another group exists, the Committee may then want to negotiate to join or work with that group.

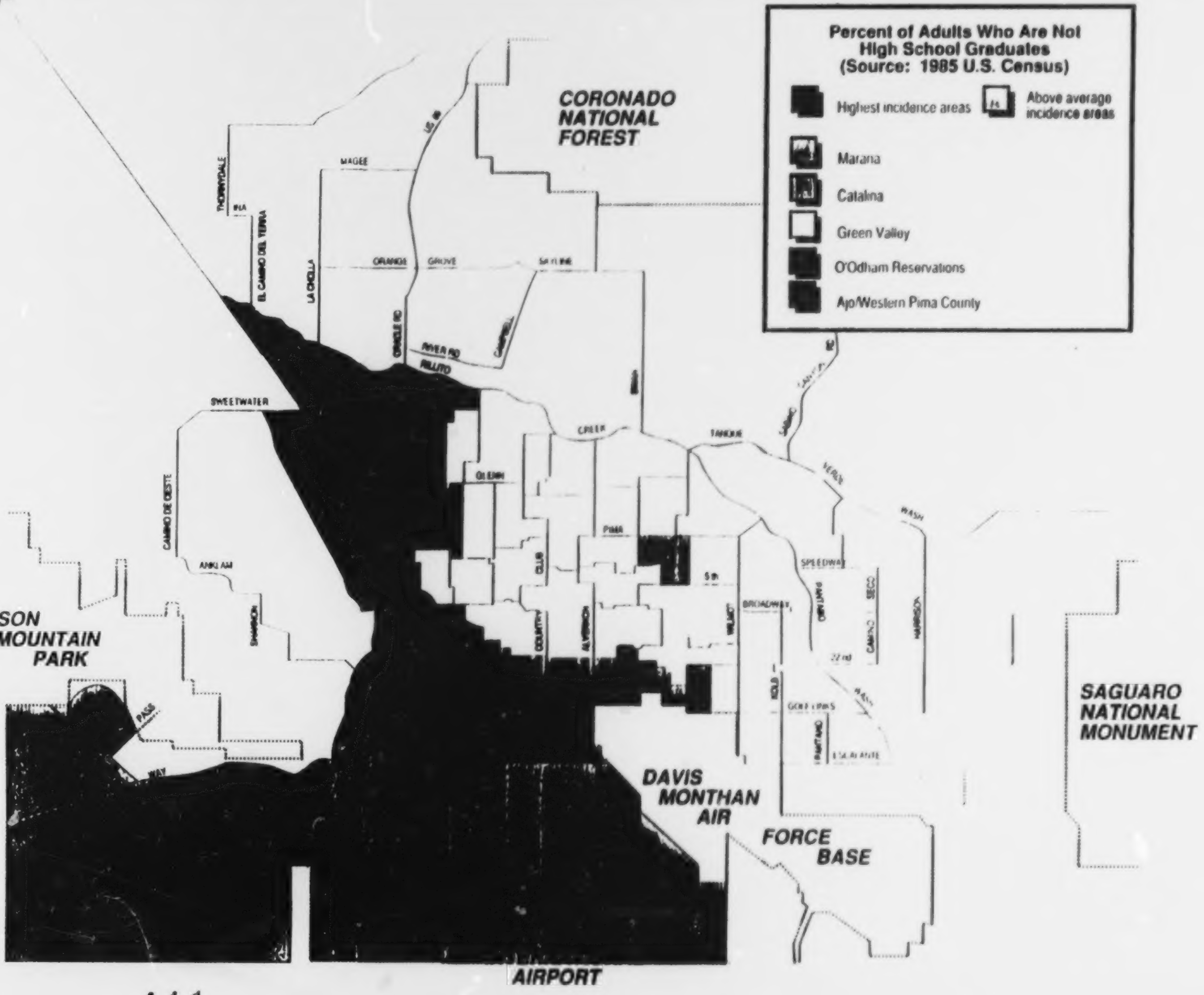
Finally, the Committee may want to talk informally with leaders in the community, potential member organizations, and similar collaborations in other parts of the country for information and advice.

FIGURE 2:
DATA SOURCES FOR NEEDS ASSESSMENT

1. United States Bureau of Census
2. Federal and state clearinghouses for information about drug abuse, AIDS, sudden infant death syndrome, etc.
3. Bureau of Labor Statistics Reports
4. Vital and Health Statistics Series
5. Federal, state, county, and city departments of health and human services, labor, education, etc.
6. Federations of social and/or health organizations
7. Local and regional planning councils
8. City, county, and regional planning departments
9. City or county health and welfare departments
10. Local or national organizations in your field
11. Local schools
12. Law enforcement and judicial departments
13. Chambers of commerce
14. Colleges and universities
15. Foundations
16. Research organizations
17. United Way
18. Television and radio stations
19. Large corporations
20. National or local trade associations

Adapted from: Data Sources for Needs Assessment: A Checklist, by the Public Management Institute, 358 Brennan Street, San Francisco, California

Percent of Adults Who Are Not High School Graduates


Percent of Adults Who Are Not High School Graduates
(Source: 1985 U.S. Census)
Highest incidence areas
Above average incidence areas
Marana
Catalina
Green Valley
O'Odham Reservations
Ajo/Western Pima County
CORONADO NATIONAL FOREST
TUCSON MOUNTAIN PARK
SAGUARO NATIONAL MONUMENT
DAVIS MONTHAN AIR FORCE BASE
AIRPORT
MAGEE
INA
THORNYDALE
EL CAMINO DEL CERRO
LA CHOLLA
ORANGE GROVE
SKYLINE
ORACLE RD
RIVER RD
RILLITO
CAMPBELL
SWEETWATER
CAMINO DE OESTE
ANKLAM
SHANNON
PASS
WAY
CREEK
TANQUE VERDE
SABINO CANYON RD
WASH
GLENN
PIMA
SPEEDWAY
5th
BROADWAY
22nd
GOLF LINKS
ESCALANTE
CLUB
COUNTRY
ALVERNON
WILMOT
KOLB
PANTANO
CAMINO SECO
HARRISON
US 89

1980 Census Tracts

Attachment 3.3
p.1 of 3

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Map Parent Sheet

Attachment 3.3
p. 2 of 3

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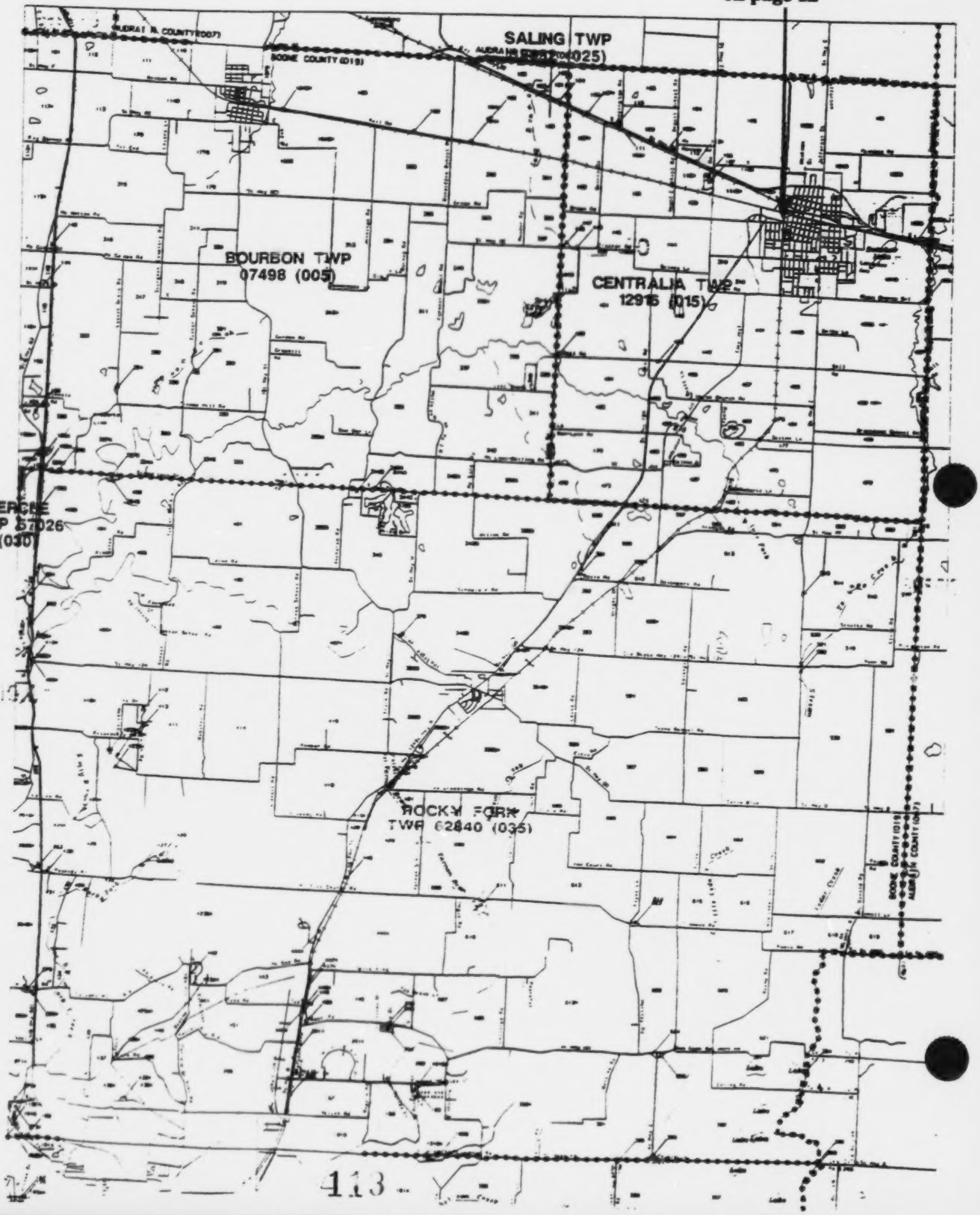
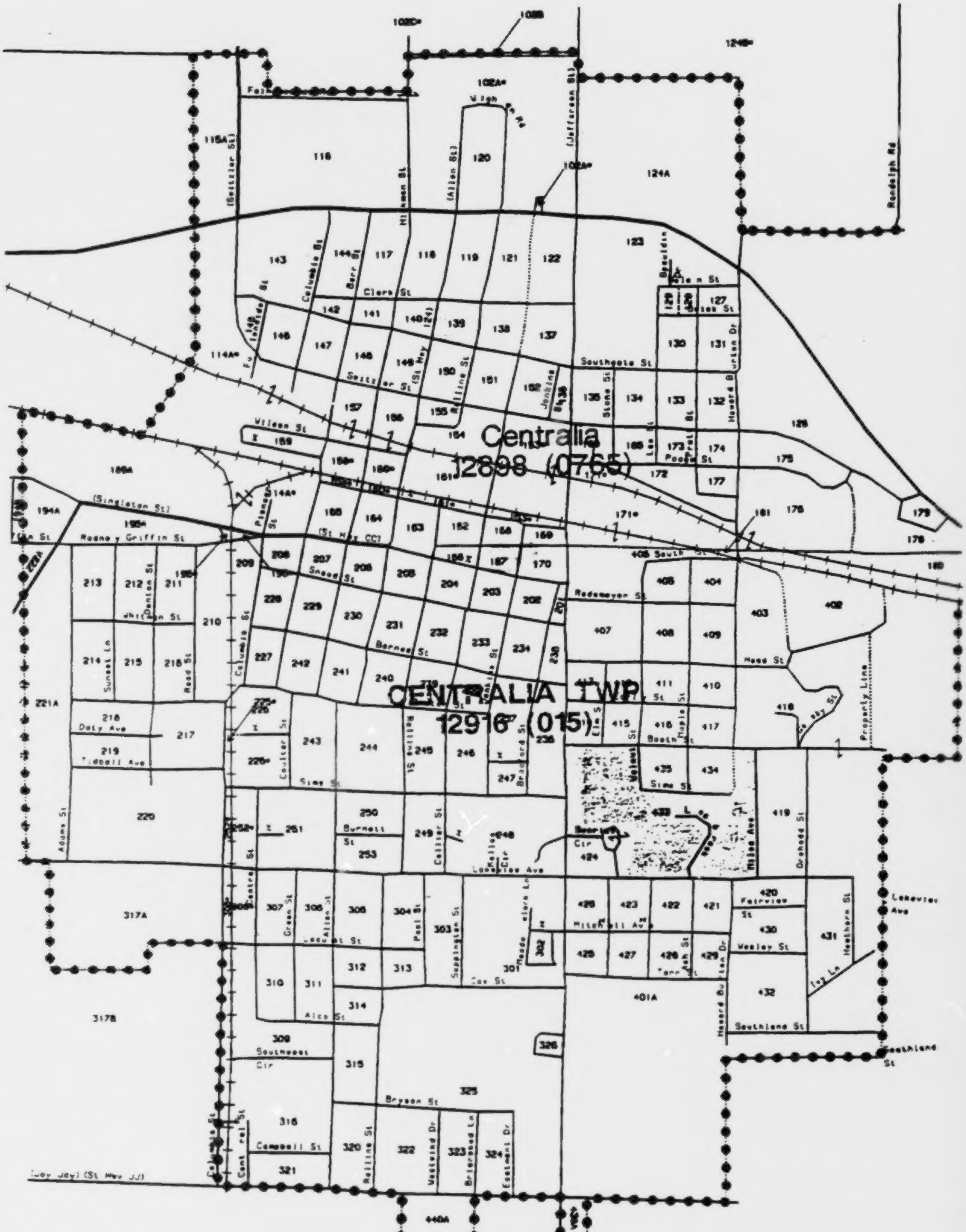
Inset B is shown on page 12


AUDRAIN COUNTY (007)
BOONE COUNTY (019)
SALING TWP
(025)
BOURBON TWP
07498 (005)
CENTRALIA TWP
12916 (015)
PERCHE
TWP 57026
(030)
ROCKY FORK
TWP 62840 (035)
BOONE COUNTY (019)
AUDRAIN COUNTY (007)

Map Inset Sheet

Attachment 3.3
p. 3 of 3



Centralia
12898 (0765)
CENTRALIA TWP.
12916 (015)
Jefferson St
Allen St
Hickman St
Columbia St
Clark St
Southgate St
Seitzler St
Wilson St
Singleton St
Rodney Griffin St
Sneed St
Rademeyer St
Barnes St
Booth St
Sims St
Burnett St
Lakeview Ave
Mitchell Ave
Wesley St
Coe St
Alco St
Bryson St
Campbell St
Southland St
Randolph Rd
Property Line
Howard Burton Dr
Adams St
Doty Ave
Tidball Ave
Sunset Ln
Reed St
Whitson St
Denton St
Green St
Collier St
Rollins St
Maple St
Lee St
Orchard St
Fairview St
Hawthorn St
Ivy Ln
Westwind Dr
Briarwood Ln
Eastmont Dr
(Jay Jay) (St Hwy JJ)

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Attachment 3.4

Discussion Questions for a Consumer Focus Group

Purpose: To discuss the needs of children and families and the problems they experience in getting help they need.

- What services do you and your children need most?
- What problems or barriers do you experience when you attempt to obtain services?
- Describe your most positive encounter with a service delivery agency.
- Describe your most negative encounter.
- If you could change one aspect of the present service delivery system, what would it be?

Attachment 3.5

Discussion Questions for Service Provider Focus Group

Purpose: To discuss child and family needs and the barriers within agencies that make it difficult to meet those needs.

- Why do families need the service your agency provides?
- Describe the barriers that families may encounter when they attempt to obtain services from your agency. For example, language difficulties may prevent clients from communicating their needs.
- What barriers does your agency experience that keep it from effectively providing services to these families? For example, some agencies might have strict rules on the documentation required before providing services.
- What has been your experience in working with other agencies to provide services to these families? Have you experienced any barriers to working collaboratively? Please be as specific as possible in identifying bureaucratic problems.
- What activities, policies, and procedures are working well at your agency?
- If you could change one specific policy or procedure in our agency to improve services for these families, what would it be?

The DeWitt Wallace-Readers' Digest

Collaborative Leaders Program of Virginia

Interview Guide—Clients and Consumers
Arlington Community Mapping

Name:____________________

Age:________ Marital Status:________ Telephone #:________

Address:____________________
Street City Zip Code

Interviewer:____________________

1. As the parent of a young child, what goals do you have for your child?

- stable home environment--security of being in the same and safe place
- education--quality, do well, college, involved in school life
- developing self esteem in child and confidence
- live in a bigger house and give child what she wants
- child needs to be able to make own decisions
- good communication between parent/child

a. What do you need to help your child reach those goals?

- good school/finish
- financial aid for college
- affordable and safe day care
- improve herself to be a good role model
- she needed patience
- affordable housing
- better health care
- needed a job to provide for child's needs
- money

2. What are your long-term goals for yourself?

- finish high school
- additional education
- good health for herself
- career not just a job
- save money
- house
- maybe get married

b. What assistance do you need to reach your personal goals?

- day care
- Pell grant assistance
- career placement, counseling, help in finding job
- housing subsidy
- English training
- counseling for family problems
- needs encouragement
- adult education too diverse

3. What are the greatest problems affecting you and your child?

- finances
- child care
- depression from constant struggle
- negative image of teen moms
- adequate housing
- family support
- tired, lost weight, physical stamina

4. Have you received any help/services from Social Services, the Health Department, Mental Health Services, JTPA, the Arlington Schools, etc.?

a. If yes, what type of help did you receive?

- child care (assistance with funding)
- WIC
- food stamps
- health services/immunizations
- ADC
- Medicaid
- counseling
- career center--career assessment
- Family Center and Outreach

b. In seeking help from Social Services, the Health Department, Mental Health, JTPA, the Arlington schools, what did you like about how you were treated by the people you came in contact with? Were there things you didn't like? If so, what?

Like

- Family Center
  - student/teacher relations
  - all help in one place
  - friendly and concerned
- service people friendly
- treated well and respectfully
- person went out of way to be helpful

- Outreach really helped by not giving up
- good social workers
- Project Family classes really good

Didn't like

- pressured adoption/abortion decisions
- criteria for service qualifications--is penalizing her when she tries to improve herself
- social worker has own agenda and not listening to client needs
- questionable quality of medical services
- paper work problems
- didn't feel comfortable asking for help as it might reflect on her as possible abuse
- takes all days

c. Overall, what are the biggest problems you've found in getting the help you need for yourself and your child?

- wants a school with day care
- day care
- getting to "help" providers
- financial assistance for marginal clients
- clothes, food, toys, bigger apartment--life quality
- not enough income for good housing or separate housing

5. Are there services you need for your child but you can't seem to get them? If so, what are they?

- day care availability and quality
- housing
- not qualifying
- finances

6. Who would you turn to first if you had a problem with your child that you couldn't handle? (minister, doctor, caseworker, parents, friends, teacher, public health nurse, etc.)

- mother, grandmother
- Outreach Program workers
- father of baby
- PHN
- emergency unit
- Hope counselor
- doctor--rarely
- friend and peer
- Family Center nurse

7. Have you tried to get child care services in Arlington? If yes, where?

   - Social Services
   - Headstart
   - neighbor
   - mother and extended family

8. If you were seeking child care services, what aspects of a child care program would you be most concerned about?

   - safety and cleanliness
   - care and empathy
   - child/adult ratio
   - equipment and condition
   - good food routine
   - help children learn how to talk
   - age of other children
   - experience of person in charge
   - discipline
   - parent responsibility
   - close to home
   - transportation
   - full-time care

9. Do you have your own transportation? If no, how would you deal with transportation to and from a child care program?

   - no transportation
   - public transportation used or walking
   - child's father
   - program provides transportation

INTERVIEW QUESTIONS FOR CITIZENS

1. Who are you:
   Age____
   Family_____________________________________
   Civic Organizations________________________
   Schools____________________________________
   Community__________________________________
   Other______________________________________
   ____
   ____

2. What do you think are the most serious problems/needs facing the families in the Petsworth Community and/or the Gloucester Community at large?
   a__Solid Waste Disposal
   b__before/after school care
   c__other child care
   d__health problems (poor nutrition)
   e__accessibility of health care
   f__drugs/alcohol
   g__poverty
   h__child abuse/child neglect
   i__family violence
   j__lack of recreation
   k__lack of transportation to needed services
   l__lack of parental supervision/responsibility
   m__behavioral problems in school
   n__lack of family counseling services
   o__need for safe play areas
   p__crime
   q__vandalism
   r__people don't go to church anymore
   s__racial problems
   t__need for safe/affordable housing
   u__school dropouts
   v__lack of employment
   w__people in neighborhoods not knowing or caring for each other
   x__quality/physical condition/programming of schools
   y____
   z____

3. Have you gone to any public agencies for services?
   Which?____
   ____
   ____

4. What difficulties, if any, have you found in seeking services from these agencies?____

____

____

____

5. What services did the agencies provide that helped you?

6. How do you think you could have been better helped with the difficulties you were\are facing?

7. Do you feel there are enough places in your community where parents and children with problems can go for help?

8. Overall, how did you feel about the service workers who assisted you?____

____

____

____

9. What do you think could be done to improve services for children and families in the Petsworth Community or the community at large?______________________________________

____

____

____

10. What could have been done to help you better?

CUSTOMER INTERVIEWS
SUMMARY SHEET

What is needed from public agencies to assist you in improving the life of your family?

I. Identify what is not working (problems, needs, physical/emotional barriers, feelings, attitudes). #2, 4, 8

II. Identify what is working. #4, 5

III. Identify solutions. #6, 7, 9, 10

IV. Identify customer. #1, 3

Attachment 3.7
p. 1 of 7

The DeWitt Wallace-Reader's Digest Collaborative Leaders Program of Virginia

Interview Guide--Agency and Professional Personnel
Arlington Community Mapping

Name: ______________________________

Title: ____________________ Telephone #: ____________________

Agency\Organization: ______________________________

Address: ______________________________
Street City Zipcode

Interviewer: ______________________________

1. What do you think are the most serious problems/or needs facing young children and their families in Arlington?

2. What are the goals of your agency in serving preschool children and their families?

3. What services does your agency provide to young children and their families?

Interview Guide--Agency and Professional Personnel (con't)

4. What other services are needed by young children and their families that are not provided by your organization/agency or other agencies in Arlington?

5. If you could design the perfect program for young children, who are not currently receiving the services they need, what would the program look like?

   a. Where should it be located?

   b. What would you consider to be the critical components of such a program?

   c. How would you rank order those components?

   d. What are the barriers that would prevent development and implementation of the "perfect program"?

Interview Guide--Agency and Professional Personnel (con't)

6. What groups of "high-risk" preschool children and their families in Arlington are the most underserved?

   a. Why do you believe they are underserved?

   b. What do you feel would be the most effective way of reaching them and getting them the services they need?

7. How do you think agencies and organizations, both public and private, could work together to better meet the needs of preschool children and their families in Arlington?

INTERVIEW QUESTIONS FOR AGENCY WORKERS

1. Who are you?
   a Name______________________________
   b Organization______________________________
   c Basic job responsibilities______________________________
   ____
   ____

2. What do you think are the most serious problems/needs facing the families in the Petsworth Community and/or the Gloucester Community at large?
   a__Solid Waste Disposal
   b__before/after school care
   c__other child care
   d__health problems (poor nutrition)
   e__accessibility of health care
   f__drugs/alcohol
   g__poverty
   h__child abuse/child neglect
   i__family violence
   j__lack of recreation
   k__lack of transportation to needed services
   l__lack of parental supervision/responsibility
   m__behavioral problems in school
   n__lack of family counseling services
   o__need for safe play areas
   p__crime
   q__vandalism
   r__people don't go to church anymore
   s__racial problems
   t__need for safe/affordable housing
   u__school dropouts
   v__lack of employment
   w__people in neighborhoods not knowing or caring for each other
   x______________________________
   y______________________________
   z______________________________

3. What do you think is currently being done to meet these needs?

4. There are many problems or barriers that keep agencies which serve children and families from delivering those services that are available. Has your agency run into any of the following barriers and if so how frequently? (occasionaly, frequently, very frequently)

a__Legal constraints
b__Red tape in getting clearance to provide service (cumbersome bureaucratic procedures)
c__Parental resistance or opposition
d__Child or family not meeting minimum requirements
e__Lack of transportation
f__Limited materials (such as office supplies)
g__Limited financial resources
h__Facilities (insufficient space, inappropriate facilities)
i__Staff needs training of a different kind
j__Lack of referrals
k__Lack of cooperation from family clients
l__Jurisdictional disputes
m__Lack of cooperation from other agencies

n____

o____

p____

g____

r____

s____

5. If it were up to you, what service or program for children would you like to see created or improved?

6. How do you think agencies and organizations, both public and private, could work together to better meet the needs of families in the Petsworth community or the community at large?

7. What do you think is working well in your agency and the community to meet the needs of families and youth?

8. What resources in the private sector are available in your community?

9. If you had unlimited resources for child and family services in your community, what would you want to see in place?

WORKER INTERVIEWS
SUMMARY SHEET

What do you need to be productive and to serve clients effectively?

I. Identify what is not working (problems, needs, physical/emotional barriers, feelings, attitudes). #2, 4, 5, 9

II. Identify what is working. #3, 7

III. Identify solutions. #5, 6, 8, 9

IV. Identify worker. #1

LIST OF STAKEHOLDERS

Attachment 3.8

STAKEHOLDER	THEY WANT	WE WANT
Providers		
Camp Fire Boys and Girls	More children participating in their programs	to serve more disadvantaged youth
Girl Scouts		
YMCA/YWCA	$ for a new pregnant teen program	collaboration between "Y" and local school
Catholic Charities	safe, well-functioning families; no abortions	well-functioning families in which parenting is a choice
City Youth Probation Dept.	more probation workers to effectively supervise youth	an end to gang violence
Schools		
District Superintendent	an orderly district with support from his constituencies	active support of preventive health and social services on his school site
High School Counselor	get these troubled kids off the campus	sensitive referral and follow-up to supportive services
District-wide Elementary School Counselor	support for families with children with needs	support for families and children with needs
Classroom Teacher	to do a good job teaching in my classroom	collaborate with service providers in meeting children's needs
Business		
Bank	customers; public image of "good citizen"	funding
High-tech Firm	good press; high name recognition	computer support for collaboration and in school
Insurance Company	qualified entry-level workers at competitive wages	funding
Independent Sector		
Neighborhood Association	NOT to be told what to do; respect; inclusion	volunteer effort; visible support of collaboration activities
Community Association	recognition for doing good in a way that supports their founders mission	funding
Consumers		
Parents	safe, affordable, convenient, quality child care; safe streets; no drug dealers; high performing schools	safe, affordable, convenient, quality child care
Leaders		
Mayor	to be re-elected or establish a legacy	leadership on our issue; city resources to support our objectives
Executive Director, Chamber of Commerce	promote small business interests	employers that support families through benefit plans
School Board Members	improve school performance; move on to higher office	leadership on our issue; school resources to support our objectives
Ministers/Rabbis	support the congregation; improve condition for families in the community	leadership on our issue; church resources to support our objectives

Judy Chynoweth, *A Guide to Community-Based Collaborative Strategic Planning*

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Attachment 3.8

LIST OF STAKEHOLDERS

STAKEHOLDER	THEY WANT	WE WANT
Providers		
Schools		
Business		
Independent Sector		
Consumers		
Leaders		

DRAFT

FRONTLINE FAMILY WORKERS --
THE ROLE OF THE FAMILY DEVELOPMENT SPECIALIST

Prepared for the Center for Policy Assessment and Development
Charles Bruner, Child and Family Policy Center

August, 1991

> When you knock on the door, you don't know what you're going to find. Everything may be going okay, or the family may be threatened with eviction or having their lights shut off. There may be boyfriend problems, or a sick child. The mom may be overwhelmed, isolated and have no vision beyond making it through the day, let alone planning to be more self-sufficient. She may not be able to give much care and affection to her kids. Whatever you find, you know that you immediately must look for the bright side, seek to make a connection, and begin to establish trust. You can't help a family unless they let you in the door and into their lives.
>
> --- Interview with a family development specialist from Cornerstones, an initiative dealing with young women on welfare in Cedar Rapids, Iowa incorporating family support and education principles with welfare-to-work.

I.

In many recent reform initiatives seeking to help fragile families and their at-risk children, the following attributes

Work in progress to revise and publish paper through National Center Center for Services Integration mid-1993 have been viewed as unrepresented in current service systems which the reform initiative must establish if child and family outcomes are to be improved:

- flexibility in meeting the individualized needs of the family,
- comprehensiveness in meeting all those needs, and
- capacity-building so that future family needs can be met by the family, without the need for professional, outside support.

Cited as an obstacle to creating these attributes is the fragmented and categorically-based nature of the current service delivery system. The fragmentation into specialized service areas means that families may have to go to many different places and work with a variety of individuals in order to meet all their needs. The categorically-based system means that, even when a need is identified, the family may not be eligible for the service which is designed to meet that need.

As a consequence, there has been a call for more service integration and more collaboration among agencies in meeting the needs of fragile families and at-risk children, with or without a specific case manager assigned primary responsibility for an individual family. Less often made explicit, however, is that at some point, this "service integration" and "collaboration" comes down to what happens when a worker comes into contact with a specific, real-life family.

The following are important questions that reform initiatives should raise regarding the roles and responsibilities of frontline workers:

- If the system is to be more flexible, comprehensive, and capacity-building, does this require a change in the way frontline workers respond to families and family members?
- Does this change involve more than better communication, coordination, and collaboration among individual workers who are or could be involved with the family?
- Is there still something missing for fragile families, even if teachers, child welfare workers, substance abuse counselors, employment specialists, and mental health specialists work together but stick within the realms of their own professions?

In short, these questions ask whether a flexible, comprehensive, capacity-building service system requires a new and different type of frontline service capacity.

The quote at the beginning of this section is from a frontline worker in an initiative that responds in the affirmative to all these questions. That worker's responsibilities are defined quite differently from most frontline staff. At Cornerstones, the worker's job is primarily one of family advocate, guidance counselor, and partner in goal-setting. When necessary, that worker's job also is to seek out

FIGURE ONE

WHAT IT TAKES FOR FAMILIES TO SUCCEED

The eight categories listed across the top of this table are risk factors—elements of life which can be measured to tell how well a family is functioning.

The Academy's attention is focused on those families whose lives are described in the bottom tier of the chart.

The concept of "risk factors" as a way of talking about the problems and barriers which stand in the way of children and families achieving success was developed by a team of Iowa state agency and community based organization representatives participating in the Iowa Policy Academy on Children and Families At Risk.

	Shelter	Nutrition	Physical/ Mental Health	Alcohol/ Drug Use	Neglect, Abuse, Violence	Education	Employment	Earned Income
Family is THRIVING All members are continually growing and contributing to the well-being of the family unit and their community.	• Chosen to suit preferences • Modified to suit taste	• Variety • High quality • Low sugar, sodium, fat	• Primary and specialist providers available locally • Comprehensive insurance • Preventive practices • Wellness behaviors	• High self esteem • Absence of substance abuse, addiction; active recovery strategies • Ability to identify and meet one's emotional and psychological needs • Problem-solving initiative	• Strong family identity • Active nurturing, guidance of members growth • Active, supportive efforts to change negative, destructive behavior • Network of friends, social relationships	• Active, ongoing learning (formal, informal) • Ability to evaluate, synthesize new information easily, quickly • Capacity to set and pursue long range career and personal goals • Extensive social/cultural/civic awareness	•Constant new skill development • Transferable skills • Steady career advancement	• Sufficient to provide choices in all goods and services
Family is SAFE The family is secure and has the potential to move forward.	• Not hazardous, unhealthy • Requires less than 30% of income • Options limited by income • Unable to modify, improve -lack of income -rental property	• Recommended Daily Allowances met • Dietary requirements for special conditions (e.g., diabetes, pregnancy, etc.) met	• Primary providers within half hour drive from home • Specialists within region • Insurance, adequate income • Sound basic health practices, hygiene • Timely treatment	• Limited self-esteem • Substance abuse cessation • Ability to cope with unmet emotional and psychological needs • Reactive approach to problems	• Physical safety • Emotional support • Psychological security • Sense of family unit • Extended family network • Feel a part of the community	• Age appropriate basic skills, diploma/GED • Ability to solve everyday problems • Some social/cultural/civic awareness • Ability to set, pursue short term career and personal goals	• Long term employment • Job retention skills • Market-relevant skills	• Sufficient to meet basic family needs; choices limited
DANGER. Family is at risk ! ! ! Growth potential of family members is limited because their safety needs are not met.	• Unsafe, unhealthy • Options severely limited by income • Unable to modify, improve • Shared, temporary • Homeless	• Recommended Daily Allowances not met • Malnutrition • Eating disorders • Disability • Death	• Providers not available • Inadequate income • Inadequate health practices • Lack of treatment • Disability • Death	• Active substance abuse, addiction • Physical, psychological pathology • Inability to control oneself or situations • Inability to confront, solve problems	• Physical abuse/neglect • Emotional intimidation • Psychological insecurity • Isolation, hostility • Family fragmentation • Injury, disability • Death	• Learning not valued or supported, school dropout • Basic skills inadequate for age, job •Little social/cultural/civic awareness • Inability to set, pursue systematic career and personal goals	• No work experience • Minimum/entry level job skills • Underemployment • Sporadic, unsuccessful employment • Chronic/long term unemployment	• Inadequate to meet basic family needs • Reliance on public assistance

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needed help -- including professional support -- for family members.

The primary job description, however, explicitly is not one of a service broker or integrator of professional services. Instead, it is one of partner to the family, working to connect that family with community sources of support and to become self-sufficient to direct all aspects of their lives. Because families come with different strengths and needs, the family development specialist may be required to problem-solve with and advocate for the family across a number of dimensions that cross many service areas. Figure One, prepared by the Iowa Policy Academy on Children and Families At Risk, provides one categorization of these dimensions -- shelter, nutrition, physical/mental health, alcohol/drug abuse, neglect/abuse/violence, education, employment, and earned income -- and begins to spell out some ways for objectively assessing where families are on each of these dimensions and where a family development specialist may have to focus attention for specific families. Interestingly, very similar dimensions have been identified by a number of "exemplary" programs that have in some way sought to comprehensively and supportively meet the needs of fragile families and at-risk youth, despite the fact that these programs initially emerged from very different disciplines.[1] Perhaps this should not be surprisingly; the common thread connecting these exemplary programs is that they all serve families confronting the same myriad of potential problems, strengths, obstacles, and concerns. The key point is that, confronting a specific problem recognized and faced by a specific family, they work to address that problem and address it in a manner that enhances the capacity of the family to independently address and solve the next problem or obstacle it encounters.

II.

Central to the philosophy of the Cornerstone program and the other "exemplary" programs that have been cited is that they recognize that all families have needs for support at some time in their lives. This recognition helps reduce the distance between the family and the family development specialist and avoid a deficit orientation to families. The purpose of the programs is to help families meet those needs for support and build capacities for independently meeting those needs in the future.

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[1] In addition to Iowa's family development program (a welfare reform initiative), South Carolina's Resource Mothers program (a health initiative), Hawaii's Healthy Start program (a child abuse prevention initiative), Illinois' Project Match (an employment and training initiative), Washington State's Homebuilder's program (a child welfare/juvenile justice initiative), and Maryland's Family Support Centers (an adolescent mothers initiative) all have recognized the need to respond to family needs across these dimensions, even if their fundamental initially orientation was to improve outcomes in only a particular area.

As structured in the Cornerstone program and other Iowa family development programs, the work of the family development specialist is tailored to meet individual family needs but also structured to move families in the direction of greater self-sufficiency. This structured process includes the following:

- Family recruitment and outreach, trust-building, and assessment,
- Goal setting and task development,
- Competency acquisition and recognition,
- Ongoing tracking and creative confrontation, and
- Program graduation and fulfillment.

Under recruitment, outreach, trust-building, and assessment, workers are expected to be persistent and yet respectful in engaging families in the program. Recruitment, outreach, trust-building frequently involve non-traditional forms of activity and support. The Maryland Family Support Centers contain washers and dryers for use by families when they visit, a relevant, nondemeaning means to draw families into the Centers. Hawaii's Healthy Start program offers "New Baby" gifts on its first visit to families, another means of entry into the family's life. One of the family development programs in Iowa has provided families with certificates for free family portraits at K-Mart, which proved exceptionally popular and meaningful to the families. These examples illustrate the effort of such programs to immediately provide families with something they can use and that is respectful of them.

A recent article regarding the STEEP program (a home visiting program, Steps Toward Effective, Enjoyable Parenting conducted by "family life facilitators" to promote healthy parent-infant development) provides a description of the persistence and outreach that may be necessary in order to engage families with a frontline family worker:

> Facilitators do not give up on a participant, even if she misses home visits and group sessions repeatedly. If a mother says that she want to participate, we continue to show up for home visits and to offer rides to group, just as we have promised. Several women have commented that STEEP was their first experience with someone who did not give up on them. ... Some mothers who have completed the program have told us of their initial skepticism about the program-- their disbelief that we really were there to address their needs, asking little or nothing in return. Some have told us how they "tested" their facilitator in various ways by missing appointments, acting rebellious, or trying to shock her with stories of outrageous things they had done. And they have told us of how the facilitator passed the test and the powerful impact that her acceptance and respect had on them. Through her behavior, the facilitator in many ways is contradicting the mother's models of others as unavailable and unaccepting and her model of self as

unworthy of being cared for.[2]

What makes this vignette all the more interesting is that similar experiences have been recited by home visitors from Hawaii's Healthy Start program and from Cornerstone's family development program.

Key to this recruitment, outreach, and trust-building activity is that the frontline worker be open and honest with the family and make clear the worker's role and commitment to the family and what the worker expects from the family in return. This leads to the potential for a realistic *assessment* of the family's strengths, needs, and goals. Typically, a formal assessment of the family does not occur on the first visit with the family, although the worker is expected to observe and form impressions of the family's strengths and needs. While the *assessment* seeks to objectively define the current family situation, it also seeks to identify family strengths and areas upon which to build. The Iowa family development program has made extensive use of "eco-maps" to chart the people and institutions in the family's life and to identify sources of support and sources of strain and stress. This assessment is jointly developed by and shared with the family being served.

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[2] Egeland, Byron and Martha Erickson, "Rising Above the Past: Strategies for Helping New Mothers Break the Cycle of Abuse and Neglect," *Zero to Three* (December, 1990), p. 33.

This assessment also assures that the needs and concerns of the family, as a system, are addressed and that individual family member goals must complement overall family goals.[3] This initial assessment not only helps identify sources of strength and strain, it also provides both the family and the frontline family worker with a baseline against which to measure actions taken by the family and the progress that results from those actions.

Goal Setting and Task Development is a dynamic process engaged in both by the family and the frontline family worker. Workers often find families under considerable stress, overwhelmed, and simply trying to get through the day. Particularly when dealing with low income families with young children or with adolescent mothers, workers often find that the adult in the family has little future orientation. Goals that families express to workers often are vague, unrealistic given existing competencies, and somewhere in the undefined future.

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[3] Programs inevitably must deal not only with immediate family members, but "significant others" as well. Single mothers with small children usually have men in their lives who are important to them and will influence their actions and be interested in the goals they set. Often, work needs to be devoted to these relationships and their effects upon all family members, including children. In Iowa's family development program, over one-half of the mothers report to their specialists (after trust has been established) that they have been in abusive relationships and twenty percent currently are in such a relationship. Hawaii's Healthy Start program also recognizes and makes special efforts to involve significant others in the family plans. The "eco-map" is a mechanism for identifying the family's significant relationships and determining how they can help the family meet family goals.

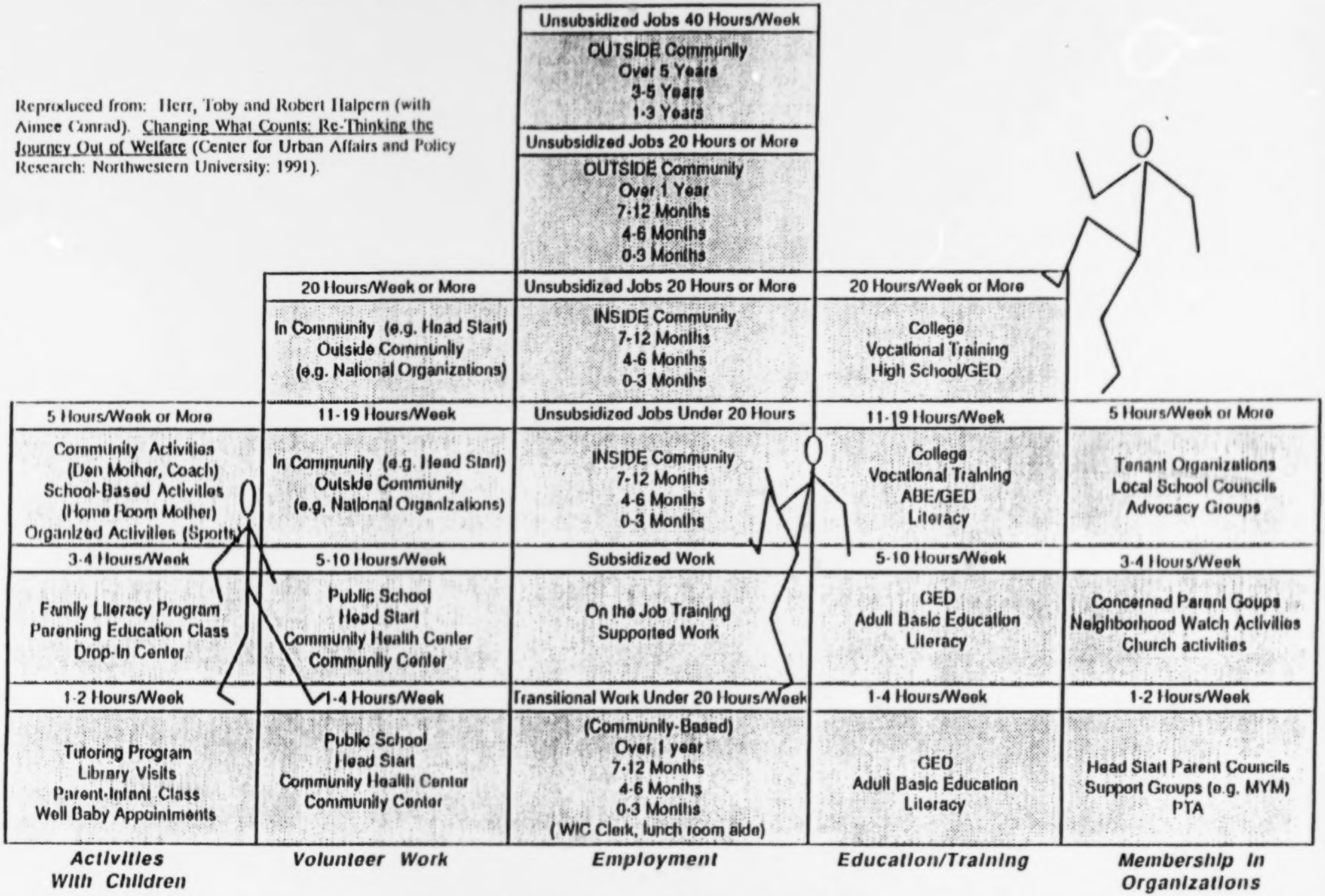
Frontline family workers must seek to get their families to develop more concrete and realistic goals and identify specific tasks the family sees as currently achievable that would represent first steps toward meeting those goals.

While the frontline worker serves as a "reality check" in helping the family define its goals, the worker also is likely to encourage the family to identify its strengths and the accomplishments it already has made. Initially, the tasks identified by the family may be quite simple ones, such as calling an agency for information about a specific service or taking the children to the public library. The frontline worker also may be a partner in accomplishing certain tasks, such as accompanying the family to the welfare or housing office. The important element of the frontline family worker's job is that the worker serves to support, rather than supplant, the family in setting goals and identifying tasks that the family can undertake to move toward those goals. The establishment of these goals and tasks also helps the frontline family worker and the family assess progress over time.

Project Match, an employment and training program in the Cabrini-Green area of Chicago, has developed a tracking system for families in its program that seeks to break down goals for self-sufficiency into a series of small but measurable steps (or tasks). Figure Two provides a diagram of Match's tracking

Steps to Social Involvement and Economic Self-Sufficiency

Reproduced from: Herr, Toby and Robert Halpern (with Aimee Conrad). Changing What Counts: Re-Thinking the Journey Out of Welfare (Center for Urban Affairs and Policy Research: Northwestern University: 1991).



Activities With Children	Volunteer Work	Employment	Education/Training	Membership in Organizations
		Unsubsidized Jobs 40 Hours/Week OUTSIDE Community Over 5 Years 3-5 Years 1-3 Years		
		Unsubsidized Jobs 20 Hours or More OUTSIDE Community Over 1 Year 7-12 Months 4-6 Months 0-3 Months		
	20 Hours/Week or More In Community (e.g. Head Start) Outside Community (e.g. National Organizations)	**Unsubsidized Jobs 20 Hours or More** INSIDE Community 7-12 Months 4-6 Months 0-3 Months	**20 Hours/Week or More** College Vocational Training High School/GED	
5 Hours/Week or More Community Activities (Den Mother, Coach) School-Based Activities (Home Room Mother) Organized Activities (Sports)	**11-19 Hours/Week** In Community (e.g. Head Start) Outside Community (e.g. National Organizations)	**Unsubsidized Jobs Under 20 Hours** INSIDE Community 7-12 Months 4-6 Months 0-3 Months	**11-19 Hours/Week** College Vocational Training ABE/GED Literacy	**5 Hours/Week or More** Tenant Organizations Local School Councils Advocacy Groups
3-4 Hours/Week Family Literacy Program Parenting Education Class Drop-In Center	**5-10 Hours/Week** Public School Head Start Community Health Center Community Center	**Subsidized Work** On the Job Training Supported Work	**5-10 Hours/Week** GED Adult Basic Education Literacy	**3-4 Hours/Week** Concerned Parent Goups Neighborhood Watch Activities Church activities
1-2 Hours/Week Tutoring Program Library Visits Parent-Infant Class Well Baby Appointments	**1-4 Hours/Week** Public School Head Start Community Health Center Community Center	**Transitional Work Under 20 Hours/Week** (Community-Based) Over 1 year 7-12 Months 4-6 Months 0-3 Months (WIC Clerk, lunch room aide)	**1-4 Hours/Week** GED Adult Basic Education Literacy	**1-2 Hours/Week** Head Start Parent Councils Support Groups (e.g. MYM) PTA

--SOCIAL ISOLATION--

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system. While each family may be at different stages on these five different dimensions, the important point of this tracking system is that it identifies small, but significant steps forward toward greater self-sufficiency and community integration on each of these dimensions. It serves as a mechanism for frontline family workers to use with families in helping them identify what their next tasks might be to achieve their goals. While Project Match started as an employment and training initiative to break the cycle of welfare dependency, its experiences with families led it to recognize the importance of a variety of different paths toward that self-sufficiency and has caused it to expand its original conception of client tracking from one dimension to the five dimensions represented in the diagram. In describing Project Match's tracking system, Toby Herr and Robert Halpern note the following:

> [T]he introduction of lower rungs and intermediate steps on the ladder reflects the realization that most welfare dependent adults are doing something positive that can be recognized and build on, whether volunteering at their child's Head Start center, participating in a parent support group, taking their child to the library, or taking a vocational course. Clearly some of the outside lower rung activities, such as participating in a parenting class, or taking one's infant to a well baby appointment do not reflect a direct effort to do something that would help one become self-sufficient. The legitimacy of these activities is in their developmental appropriateness. They provide a starting point that reflects reasonable initial expectations for the highest risk families. When people are doing these things it is an indication they have some of the dispositions and situational foundations necessary to begin the journey [toward economic self-sufficiency]. For those not doing them, such activities are an appropriate initial objective, a

precursor to more direct steps on the journey.[4]

Very much related to goal setting and task development is competency acquisition and recognition. While it has become common to talk of the need to improve "self-esteem" among fragile families and at-risk children, "self-esteem" is not something to be passively acquired through attendance at seminar or workshop. Rather, people acquire self-esteem through exerting effort and achieving success. Families need to develop competencies in order to fulfill their tasks and achieve their goals. A key element of the frontline family worker's job is in helping families overcome barriers they may face in developing their competencies. This may require advocacy on behalf of families to receive the necessary supports in order for them to develop competencies. Moreover, it is likely to involve celebration with the family of the competencies the family acquires. Each stage in the development of skills can be recognized as the significant step that it is. A number of the exemplary programs cited earlier include within their newsletters regular reports on the steps their families have taken and "celebrate" milestones of family members at support group meetings and events. Often, it is simply of a matter of "catching someone doing good," to again quote the Cornerstone worker cited at the beginning of this paper.

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[4] Herr, Toby and Robert Halpern (with Aimee Conrad). Changing What Counts: Re-Thinking the Journey Out of Welfare (Center for Urban Affairs and Policy Research: Northwestern University: 1991), p. 24-5.

Ongoing tracking and creative confrontation represent means both for assessing family progress and for steering families back on track to meet their own professed goals. Project Match's tracking of the clients in its program has shown that only a minority of families served make steady progress to their goals for self-sufficiency. The majority suffer setbacks along the way, as well as taking false steps toward their goals and "getting stuck" in old ways of doing things. The frontline family worker must recognize those times when families are failing to make progress and seek to use these temporary setbacks as learning moments. Some setbacks may be the result of obstacles over which the family has little control (such as a sick child resulting in the mother remaining at home and losing her job). Other setbacks may relate to the family's own ambivalence at experiencing success. Most programs note cases where a family member, experiencing some measure of success, suddenly sets themselves up for failure. Project Match has found that the most frequent steps toward self-sufficiency include a number of "experiments" and temporary placements that serve as learning experiences.[5]

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[5] This "learning by doing" was described in relation to the Project Match's experiences with women starting their efforts by enrolling in educational programs:

> There are probably a number of reasons for the lack of success with GED and similar basic skills programs as a first placement for dropouts. In our program ... education as a first placement was also

Critical to using these setbacks as opportunities for change, however, is for the frontline family worker to immediately confront the family and get the family to recognize the natural consequences of their actions and accept responsibility for that portion of the setback that was theirs. Again, the family is held responsible for meeting its goals through the development of competencies achieved through specific tasks. This creative confrontation can be used to produce long-lasting change; provided the confrontation, because it is based upon the family's own set of goals, is regarded as fair and constructive.

Finally, exemplary programs have a clear sense of program graduation and fulfillment. While this graduation may be fairly far in the future, the expectation is that families will become independent from formal sources of assistance and the need for a frontline family worker's guidance . Program graduation represents a passage and fulfillment for the family.

> inherently problematic. ... [I]t was only after experiencing low-paying, entry-level jobs with few prospects for advancement that many participants came to understand in a visceral sense the link between school and work. It was only at this point that at least some were able to make and follow through on a commitment to strengthen basic skills. (ibid., p 15.)

A key to the success of frontline family workers in their engagement of families is being able to respond flexibly and individually to a wide variety of situations and family needs. By nature generalists, they must still be able to identify and respond to specialized family needs and to refer families for professional support where necessary. The latter is particularly likely to be the case in instances of substance abuse, domestic violence, or parental neglect. They must also be in a position of helping families address their needs for hard services such as housing, transportation, and food.[6]

How to make this a manageable task for the frontline family worker is a challenge that all the exemplary programs referred to earlier have had to face. The following are attributes that appear to be particularly important in enabling frontline family workers to work successfully with families:

o Recruitment and Selection. Almost universally, exemplary programs stress the need to recruit and select frontline family workers with an ingrained belief in people, a positive outlook on life, and a generally nonjudgmental character and appreciation for cultural diversity. Life experiences are likely to play a larger role in recruitment and selection than for most other social service positions, and the ability to role play and deal with ambiguity and uncertainty also are important. Founders of the Homebuilders program talk about their profile of the ideal worker including a kind of quirky personality, willing to work unusual hours and try unorthodox approaches.

---

[6] In Iowa's family development program, family development specialists report that approximately one-quarter of all families need some "hard service" at the time they first enter the program, with a serious housing concerns. Hawaii's Healthy Start program considers the lack of adequate housing one of the most serious problems its home visitors face in working with families. Families living in unsafe and seriously substandard housing cannot address other family needs until this concern has been addressed.

o Training. Most exemplary programs are emphatic about the need for both pre-service and in-service training, where problem-solving skills are stressed and training is provided into following families from outreach and joining through graduation. There is extensive use of case-based training, and shadowing of experienced workers is a common means to start training of new workers.

o Staff Organizational Structure. In opposition to traditional work settings, a hierarchical system is virtually absent in the exemplary programs cited previously. "Our family development specialists are so critical to our program," Gary Stokes, director of one of Iowa's family development programs, states, "that we reverse our organizational structure to support their needs and make it easy for them to exercise creativity and discretion in their work." This includes a collegial atmosphere and frequent staff meetings, where workers share experiences and seek help from each other regarding families who have "gotten stuck." "When you have even a small success with a particularly problematic family," one worker explained, "it's so heartening to share with your fellow workers and get positive feedback. That helps keep me going." In fact, the organization structure is generally designed to be small and personal, and a number of exemplary programs express appreciation for a diversity of backgrounds (including life experiences) on the part of frontline family workers, which makes the overall staff team more creative and responsive in addressing new family situations.

o Supervision. Coupled with this organizational structure is the critical role of the supervisor, who must nurture and develop workers to do more than use their instincts alone in dealing with families. While selection and recruitment can help assure that people with an ability to establish trust with families are hired as frontline family workers, creative confrontation requires different skills and different support. Those who serve as direct supervisors of frontline family workers (who, in small programs or offices often are the program directors) must develop these talents in their workers. Building worker expertise and confidence is absolutely critical, as frontline family workers must exercise much greater discretion than is expected from frontline staff in other organizations.

o Complementary Group Activities. Social isolation represents a major problem for many fragile families, and peer support groups offer one approach to beginning to end this isolation. Center-based group activities (which include holiday parties and picnics, study groups where babysitting is provided, and other informal gatherings[7]) allow for socializing, feedback, and learning interactive skills. When whole families come, they offer opportunities for engaging in parent-child play and other activities as well.[8] Exemplary programs that start out as solely home-visiting initiatives generally find they need to develop center-based group activities; while center-based programs find they need to offer home-visiting services in order to reach the range of families they seek to help.

o Connections With Community. In addition to leveraging needed hard services for families and brokering disputes, exemplary programs develop and nurture connections with both formal and informal community support systems. Through project directors and/or supervisors, in particular, exemplary programs tend to be viewed as resources by other institutions within the community. Community outreach is likely to be part of the accepted way the program does business, with such activities built into job descriptions and responsibilities. Workers are not questioned for spending time in such activities; it is not an add-on to their work but an integral part of their job. In exemplary programs, workers generally come to know where they are most likely to get assistance, and to be able to find use for any volunteer support they can receive. They may receive donations of day-old cookies from a nearby bakery, coupons for free shampoos from a local hairdresser, or donated dental services from a dentist. This support provides a dual benefit of helping families and establishing community investment in and ownership of the program.

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[7] For single mothers, many programs have found considerable success in conducting "make-up" sessions or meetings when someone does everyone's colors. This is another example of responding to what families want, rather than to what professionals determine they should want.

[8] The Alaska Youth Initiative, a child welfare initiative which has worked to bring children previously placed out of state back into their homes and neighborhoods has gone as far as to pay other children to be companions to the youth coming back. "If children don't have friends," John Vandenberg, one of the initiatives developers has asserted, "therapy and other progressional help isn't likely to be very effective."

o Caseloads and Work Hours. To be effective, frontline family workers must be responsive to families when families have needs for support, which is likely to be at non-business hours. Most exemplary programs are structured to handle emergency calls and provide support on a twenty-four hour basis, if necessary. Moreover, programs have found that it is unrealistic to expect a full-time worker to be involved with more than fifteen to twenty families at one time. The organizational structure has to support flexible work schedules on the part of frontline family workers, and avoid diluting the program impact by letting caseloads expand to a level above that which allows the worker to provide truly responsive support to the families being served.

These attributes describe a very different organizational structure than is found in most businesses or social service agencies. Since the frontline family worker is expected to exercise substantial discretion (rather than following prescribed rules and regulations established from above), this different structure is regarded as necessary. For this reason, however, such programs cannot be replicated in new locations simply by copying organization charts and administrative roles. This is why, for exemplary programs that have expanded, attention to selection and recruitment, training, and staff supervision is so great.

IV.

Most families do not require the type of family development services identified above, although many families may require a lesser degree of assistance in accessing needed services. In low-income communities, almost all families may need some help in establishing consistent sources for primary health care. They all may need better housing. A much smaller percentage, however, are likely to require the more intensive and extensive support of the type described above.

In Hawaii's Healthy Start program, which screens all parents at birth using a Family Stress Scale, approximately 15 % of the families are identified for the home visiting program. Iowa's family development grant program serves only families on public assistance at-risk of long-term welfare dependency, or about 3 % of all families with children in Iowa. Project Match serves the Cabrini-Green housing project in Chicago, but only a portion of the families seek the service. The service described here is certainly not required for all families, even in very distressed communities.

In distressed communities, however, it is likely that most families do have need for specific services, whether that is primary health care, safe housing, high quality developmental day care, vibrant community support systems and institutions, or a voice in their children's schools. Neighborhood centers providing family development services generally can and should be of benefit to all families in the community, improving access to basic services for most while providing more intensive, family development support for those who need that help. The connection of frontline family workers to such centers ultimately offers a means for integrating families facing social isolation and needing the frontline family services identified above with connections with community, as opposed to professional, system supports.

PART II: MASTERING THE ESSENTIALS

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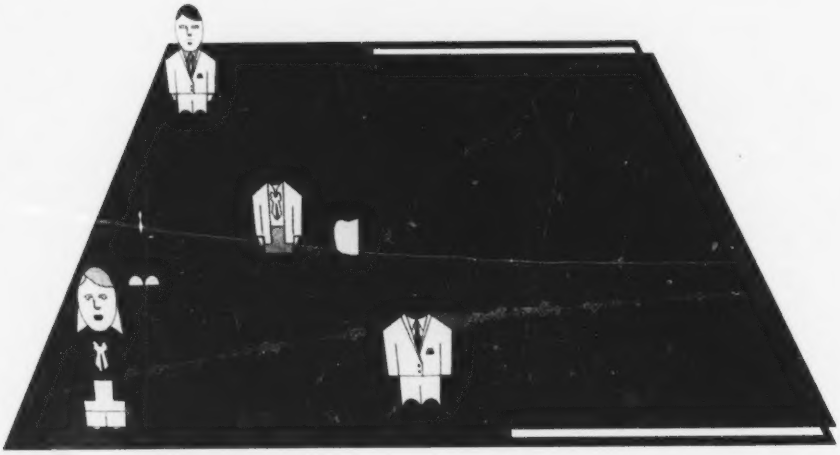
CONNECTING WITH PEOPLE



Developing skills for communicating in collaborative environments: listening, networking, and managing meetings.

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We will need to become savvy about how to build relationships, how to nurture growing, evolving things. All of us will need better skills in listening, communicating, and facilitating groups, because these are the talents that build strong relationships... More and more relationships are in store for us, out there in the vast web of universal connections. -- Margaret Wheatley

GOAL

To develop the skills needed for communicating in collaborative environments: listening, networking, managing meetings.

OVERVIEW OF CRITICAL EVENTS

- ☐ Using experiential exercises and a questionnaire, team members explore communication basics: task completion when communication is hindered, impact of non-verbal communication, and rating empathetic communication skills.
- ☐ Team members build their networking skills through exercises and group discussion by examining the roles they play, what it takes to maintain networks and how networks help collaboratives.
- ☐ A series of exercises help team members improve their listening skills and create an awareness of the importance of empathetic listening in collaborative environments.
- ☐ Team members explore the tasks related to organizing and managing effective meetings. This includes using the interaction method by observing and critiquing meetings, and practicing meeting facilitation.

TODAY'S OBJECTIVES

Communication

- ☐ To develop a sensitivity to the power of non-verbal communication.
- ☐ To identify the barriers preventing team members from communicating with each other.

Networking

☐ To have team members identify the many roles they play and the networks they represent.

☐ To identify the skills needed to establish and maintain networks.

☐ To establish networking guidelines and groundrules.

Listening

☐ To develop good listening habits.

☐ To develop empathetic listening skills.

☐ To develop skills for facilitating effective listening in meetings.

Meeting Management

☐ To observe the meeting process and the roles members play.

☐ To develop a strategy for managing team meetings collaboratively.

HOMEWORK

○ Read the following books:

Burley-Allen, Madelyn. Listening: The Forgotten Skill. New York: John Wiley & Sons, Inc., 1982.

Doyle, Michael and David Straus. How To Make Meetings Work. New York: The Berkley Publishing Group, 1976.

○ Review the following:

Covey, Stephen R. The 7 Habits of Highly Effective People. “Habit 5.” New York: Simon & Schuster,1989.

FACILITATOR'S NOTES

The 2 key concepts team members need to "get" from this session are:

-- Building relationships is crucial to collaboration success; and
-- Empathic communication is a powerful tool for maintaining relationships.

This unit covers three topics: listening, networking, and managing meetings, all necessary talents for building strong relationships. Team members will gain insight, practice, and skill enhancement in each.

We suggest that this unit be scheduled early in the skill building agenda. Competency in these skills will improve with use and will enhance performance during future sessions. Be prepared: this unit may be overlooked when team members are "Charting the Course" in Session Two. Why? They may not realize that listening, for example, is a skill for which they need training. Yet, as Madelyn Burley-Allen points out, "We spend 70 percent of our waking hours in verbal communication...and on average people are only about 25 percent effective as listeners."

The same applies to networking. Everyone is tempted to say, "I can network." But, does everyone do what's needed in a collaborative setting? Do they have the right information, the best resources, and the strongest support to keep focused in the midst of constant change? And yes, they have all been to meetings and arranged meetings. But one thing collaboration does not do is eliminate the need for meetings; it increases the need. By improving your meetings, you improve teamwork, communications, morale, and productivity.

These 3 topics can be covered in a single day, or in segments during different sessions. They are presented here together, because taken individually, no one topic need cover an entire day. As always, diamonds (♦) indicate activities from which you can choose to design your day's agenda.

The unit begins with a communications overview followed by listening, networking, and meeting management. In each section, a few activities are outlined. The remaining items are provided as guidelines or resource material. Each of these skills are perfected through practice outside a "classroom setting."

CRITICAL EVENTS

Seek first to understand, then to be understood. This is the key to effective interpersonal communication. -- Stephen Covey

COMMUNICATION

◆ **Blind Square**

Objectives:

- To examine the effect on task completion when communication is hindered.
- To have fun!

Activity:

❖ Materials: A length of rope 25' - 50', ends tied together and blindfolds for all team members.

Arrange rope in large circle on the ground and tell team members to form a circle around the rope. Pass out blindfolds and tell them to put them on.

After all are blindfolded, tell them they have 15 minutes to form a square out of the circle without letting go of the rope.

After 15 minutes, call time and ask them to stand still and remove their blindfolds. Did they make a square?

Discussion questions:

- -- What made this task difficult? Easy?
- -- How did you overcome these problems?
- -- What actions did individual team members take to help you complete the task? Why was that effective?
- -- What did you learn about effective communication?

Discovering Your Communication Styles

Objective:

- To relate the five modes of empathy communication to collaboration.

[Consider assigning the **La Monica Empathy Profile** as homework to save session time.]

As you open the discussion, stress once again that there are no right or wrong answers. All five modes are useful in some situations and each one may be useful in effective communication.

Activity:

- Divide team members into groups of four. Ask them to discuss and be prepared to share with the entire group the following:
  - Share the results of your profile. Were you surprised? What did you learn? Are you an effective empathetic communicator in your daily situation?
  - Consider how the five modes will be useful for collaboration.

After 20 - 30 minutes, listen to small group reports. Chart the responses to the second question. Request comments from the entire group on the list. Do they agree? What would they add?

Saying It Without Words*

Objective:

- To develop a sensitivity to the power of non-verbal communication.

Explain to team members that much of the communication that takes place in groups is done without words. It is so silent that frequently the senders and the receivers do not realize what has been communicated. It has been estimated that as much as 65% of what is communicated between people is done without words. Thus, people communicate more by what they do than by what they say. In a situation where your words have one intended meaning and your non-verbal behavior has another, people will select the non-verbal behavior. The use of your eyes, smiles, frowns, the tone of your voice, how you hold your arms and legs, how close you stand and whether you touch, all indicate non-verbal messages to the person to whom you are speaking.

---

*Adapted from Working Together: A Manual for Helping Groups Work More Effectively.

For example: What non-verbal cues did you observe just now while I was talking?

The following exercise is a way to practice non-verbal skills and attempt to interpret the non-verbal language of others.

Activity:

- Part I -- Close-Ups

Divide into groups of threes and call one person A, one B, and one C.

Have A and B sit about 6 feet apart with C as an observer.

A and B are to look intently at one another for 30 seconds then slowly move their chairs within 3 feet of each other. Stop for a few seconds, then move within 1 foot or less of each other. Have A and B look at each other for at least 1 minute.

Have A and then B describe what they felt and observed as they moved closer. Then C can share some observations about the interaction.

- Part II -- Saying It Without Words

A and C are to sit facing each other with B as an observer.

A and C are given different lists which contain several attitudes to be communicated. B will be given copies of both lists (**Saying It Without Words** -- Attachment 4.1). A and C alternately try to communicate the attitudes described on their lists. They record what they interpret from the non-verbal messages.

Only B will know what both are trying to communicate. B should try to watch the receiver of the messages rather than the sender, to see what non-verbal messages they are unconsciously sending.

When finished with the lists, have A and B share their attitudes and lists, and compare the notes taken by all three persons.

The entire group discusses the following questions:

-- How accurately did A and C communicate the non-verbal messages?
-- How accurately did they receive the messages?
-- What problems did each have?
-- What did you learn from this exercise?

◆ Communication Blocks*

Objective:

- To identify the barriers which prevent team members from communicating and trusting each other.

Activity:

❖ Make copies of **Blocks to Effective Communication** (Attachment 4.2). Distribute and ask team members to individually select the three items they believe to be the most serious blocks.

❖ Divide the team into subgroups of 4 - 5 people. Ask each person to share reasons why they chose the three blocks. No discussion, just listen to each person's reasoning.

Next, ask team members to rethink their own choices and make changes if desired. Now see if the group is closer to consensus. Encourage the group to reach a consensus, if it can, on the three blocks.

The group's next task is to suggest one or more helpful ways to overcome each of the three blocks to trust and communication.

❖ During the final sharing with the entire group, record on newsprint the suggestions for overcoming the selected blocks.

*Adapted from Working Together: A Manual for Helping Groups Work More Effectively.

When done, ask the group:

-- What concrete ideas do you get for "unblocking" communication?
-- Where and when will you use these concepts?

◆ **Considerations**

Below are brief descriptions of other activities and resources that you may consider using.

- **Exploring Supportive and Defensive Communication Climates: The Communication Inventory** (Instrumentation Kit, University Associates) -- this self-scoring inventory uses 12 factors to assess the communication climate within work groups in organizations. The team can complete the inventory for the team, for their workplace, or with both in mind.

- Three Theoretical Approaches -- Communication networks can be diagrammed, communication channels are frequently mixed, and information withheld is as important as that which is given. These three concepts are described in **Diagramming Communication Networks***, **Multichannel Communication*,** and **The Johari Window*** (*Theories and Models in Applied Behavioral Science, Vol. 2, Pfeiffer & Co.). Use one, two or all three as homework reading, additional resource information, or as a session activity.

- **MBTI - Preferred Methods of Communication** (p.7, Introduction To Type in Organizations) -- a handout listing Myers-Briggs Type Inventory preferences of communication styles.

The right information, the best resources, and the strongest support are needed to keep focused in the midst of change. Effective networking helps us keep our balance and perspective in a world of change. -- Venda Raye-Johnson

NETWORKING

To introduce this topic, first show the **Network Overhead** (Attachment 4.3). Ask team members: Why use a spider web to depict a network?

Next, present the information **How Networking Works** (from Effective Networking Crisp Publications, p.25) which you can distribute before or after your talk. The stage has now been set, and you can move on to the activities.

◆ Roles We Play

Objectives:

- To have team members identify the many roles they play and consequently the networks they represent.
- To categorize the knowledge and expertise into three skill areas: character, functional and specialized.

Activities:

- An important part of networking is being a link in others' networks. Effective networkers make themselves useful and helpful. They know that giving information gets information. The key to cultivating and nurturing your network is sharing your knowledge and expertise. Let's identify what skills, abilities, and knowledge each of you has that can be shared with the team.

  While working alone, list answers to the question: Who Am I? Think of as many roles as possible. Include personal, work, family, and community-related activities.

- Divide the group into 2 teams seated on opposite sides of the room. Have 2 recorders come up front. On two pieces of newsprint or two sides of a chalkboard, record the responses.

A member for Team A will give a role and Team A recorder will write it down. Then Team B will give one to be recorded. (Note: Roles cannot be repeated and can appear on only one list.) Keep recording for one team then the other until the both teams finish their lists.

- In the next step, assign skill specifications to the roles. The attributable skills may not be obvious, but implied. (You can have these printed on a handout or written and posted on chart paper.) Some roles may reflect more than one skill.

  - "Character" skills are soft, non-technical skills that describe how you interface with others on an interpersonal level. Examples: good listener, entertaining, patience, leader ship, team player, caring, etc. (Example: a counselor is a good listener, a mother has patience...)

  - "Functional" skills include the ability to organize and coordinate projects, write good letters, supervise a staff, and maintain a budget. Key skills are teaching, leading, writing, and speaking.

  - "Specialized" skills are *hard* skills, or skills of expertise. Examples might include designing a computer program, training and grooming show dogs, playing a musical instrument, or being knowledgeable in African history.

- Now step back and ponder the list. Ask team members to select one role that they play and confirm the skill they have to offer. Once this final list is complete, the team will have compiled a very impressive network.

◆ Networking or Birthday Circle

Objective:

- To identify the skills needed to establish and maintain networks.

Activity:

❖ You will need 5 volunteers to serve as assistants. Team members form a large circle, then reconfigure the circle in order of birthdays. Example: The person who was born on January 1 is holding hands with the person who has the next birthday, e.g., January 16. (Ignore the years.)

❖ Next, the participants are blindfolded and guided to a different spot in the room and told to repeat the previous task, i.e., line up according to birthday. You will need the assistant's help to keep people from running into each other, walls, furniture.

Team members are not told how to find each other, but a number of skills come into play: data gathering, analyzing, brokering, documenting, evaluating, facilitating, intuiting, linking, listening, questioning, referring, retrieving, scanning, talking, translating, etc.

Once the team is satisfied they have reconstructed the birthday circle, ask them to remove their blindfolds and evaluate how well they did.

❖ Have them reflect, individually, about the birthday circle exercise and consider the following:

-- The resources you need in your network.
-- Understand the breadth and depth of skills needed to establish and maintain networks.
-- Determine the tools needed for establishing and maintaining networks.
-- Your own potential to network: What is it you have to offer?

Do's and Don'ts

Objective:

- To establish networking guidelines and groundrules.

  Many team members will be skilled networkers; others, only novice. Draw on the group's expertise for this next activity while keeping in mind the context of building support for collaborative initiatives.

Activity:

- Brainstorm with the entire group the Do's and Don'ts of Networking based on their experience, assumptions, or common sense. Follow good brainstorming procedures: Anything counts, no censoring; just get it up on the flip chart. Then review the entire list and winnow down to those tips team members believe to be most effective.

Summary

- To conclude the discussion about networking, consider using the review below. Post on a flip chart or prepare as a handout. Once again, emphasize a collaborative context.

  -- Networking is active.
  -- Networkers take the initiative.
  -- Networking takes time.

  So -- What's in it for me?

  1. Information. Information is power. A network is a conduit to the kind of information you need. The larger your network, the better your chance of finding out exactly what you need to know.

  2. Referrals. Sometimes the best kind of information is a referral. Knowing whom to call is almost as good as knowing key information.

3. Feedback. A network helps you check out your behavior, your ideas, your strategies before you risk them in "the real world." (Networking:The Great Way for Wormen To Get Ahed, p.32-33.)

Final Thoughts:

- Networking is based on six principles:
  - -- Excel at what you do;
  - -- Be nurturing and supportive to others;
  - -- Know many different kinds of people;
  - -- Be visible: wear bright colors, use strong handshake, make eye contact with people, smile and call people by name;
  - -- Learn other people's unique qualities; and
  - -- Be organized.

LISTENING

Good listeners have a responsibility to see that maximum communication has taken place. -- Baxter Geeting

Note: We recommend that prior to facilitating this session you read Madelyn Burley-Allen's book, Listening: The Forgotten Skill. Besides using it as a resource for this section, it offers additional exercises that you may consider using. It also will serve as an excellent follow-up workbook for team members to continue their listening skills development.

Depending on how many exercises you select, this section need only require 2 - 2 1/2 hours.

Begin this section with the following comments:

We are taught to read, write, speak, but when are we taught to listen? Yet, of these four communication skills, the most time is spent listening. A full 40% compared to 35% spent talking. (Refer to page 2 in Listening: The Forgotten Skill.) How many of you have told a child, "Stop talking and listen!" We would all do well to follow our own advice. While we may not be actually speaking, we have conversations in our heads (planning our reply, guessing what the speaker will say next, filtering through our emotions, or making a mental "to do" list). Because of this, people are only 25% effective as listeners. Listening is an active, not a passive process. It takes effort, skill, and discipline to be an effective listener.

But it is also more what you hear, rather than how you hear it. Madelyn Burley-Allen calls it Level 1, Active Listening. Stephen Covey lists Habit 5 as Empathic Listening. Whatever you call it, it means listening with not only your ears, but your heart, and working hard at it. The **Chinese character** (Attachment 4.4) for "listen" means just that . You listen not only to the words and content, but, more importantly, for the meaning and feelings of the message. You watch the body language, expression to truly "hear" what the speaker is trying to convey. This is a very different approach to what most of us do when we listen. It is not something we can learn to do in one day, but we can become aware of our present listening habits and start practicing active or empathic listening. Ask the group: Why is listening important in collaborative environments?

◆ **Effective Listening Self-Evaluation**

Objective:

- To identify your listening habits.

Activity:

❖ Ask team members to complete the **Effective Listening Evaluation** (pp. 12-15, Listening: The Forgotten Skill). Once completed, take a straw vote to get a feel for how many fell into each of the four categories (superior, above average, average, and fair.)

Ask the group:

-- Were you surprised with your score?
-- Name one new insight about listening that you derived from this exercise.

◆ **Listening Exercise**

Objective:

- To demonstrate that most adults listen at 25% efficiency.

Activity:

❖ Clip a story from a newspaper or magazine that is 2-3 paragraphs long. With no introduction, mention to the group, "some of you may have seen this in the paper..." and begin to read aloud the entire selection. When finished, notice the energy level in the room: bored, daydreaming, etc. Take out a dollar bill and state, "I have a few questions based on the story. The person that gets them all correct wins the dollar bill."

❖ Read 8 - 10 prepared questions (names, dates, places, etc.). Most likely, not one person will be able to answer all the questions correctly.

Discussion questions:

-- You all heard the story, yet few could remember very much about it. Why? What were you doing instead of listening?
-- If I told you initially that you could win some money, would you have listened more attentively? Why?

Summary:

- The mind can process information faster than people talk. Humans can speak at rates of 125 - 160 words per minute but can listen at rates of 500 words per minute. As a result, the listener has difficulty concentrating.

◆ **Simon Says**

Objective:

- To demonstrate that we hear, but don't really understand.

Activity:

❖ Pass out a blank sheet of paper to each person. Tell team members: I am going to give you some simple instructions to follow using the sheet of paper. I will give the instructions only once. You may not ask any questions. (See Attachment 4.5 for **Simon Says Direction Sheet.**)

After reading the directions, ask team members to raise their hands if they think it's correct. You don't need to keep score, but usually 25% of them will do it correctly.

Discussion questions:

-- Why did so few complete the exercise correctly?
-- What would have helped?
-- Think about situations where you are giving instructions. Are your results similar? Why/Why not?
-- What is the difference between hearing and listening and what is the impact?

Summary:

This exercise shows us that sometimes we can have too much information that is not presented in a way we can easily hear and understand. It is important to consider your audience and present information that is easy to listen to.

Note: The 3 previous activities examined listening difficulties. The following 2 are listening skill-building activities.

◆ Empathic Listening

Objective:

- To develop empathic listening skills.

Activity:

- Select controversial topics from a magazine or newspaper. Divide into small groups of 3. Have each group select a speaker, listener and observer. Pass out the articles to the groups. The selected speaker, without interruption, explains her/his feelings about the topic. After the speaker finishes, the listener summarizes (without notes) what was said. The speaker and observer can then correct or amplify any item the listener overlooked. The observer can then make any comments about factors that helped or hindered the conversation, (i.e., body language, inattentive listening, unclear statements, etc.).

- After this first 8 - 10 minute discussion, hand out new topics, or keep the same ones. Have team members reverse roles and use the same procedure. Repeat until all three persons have played the role of listener, speaker, observer.

  Discussion questions:

  - What barriers did you identify that obstructed effective empathic listening?
  - In your role as listener, was it difficult to summarize and paraphrase the speaker's comments? Why/why not?
  - What did you learn about empathetic listening?

Summary:

- We all listen through filters, many of which we developed and have had since childhood. Our brain takes each new piece of information and experience through filters. The following diagram (refer to p. 31, Listening: The Forgotten Skill) **Listening Thru Filters** shows some of the filters that affect us. It is important that we develop our ability to recognize our own filters so we can effectively listen and hear others.

  See "Feeling-Check Listening Response" exercise in Listening: The Forgotten Skill as an alternative or additional exercise (pp.106-107).

♦ Facilitating Listening

Objective:

- To develop skills for facilitating effective listening in meetings.

Opening Comments:

- In the previous exercise, we practiced empathic listening and restating. This same technique can be used in meetings to determine if members heard and understood what was said. In collaborative meetings, a good facilitator will try to clarify what has been said. The reason: if we don't restate our decisions, especially after controversy and much discussion, people leave the meeting with different understandings.

Activity:

❖ Merge the three person groups into groups of six. Select a controversial topic (abortion, taxes for child care, funding for early childhood, etc.). If a group tires of a topic, suggest others.

❖ Have each group select a facilitator. Each person in the group will have an opportunity to serve as a facilitator. Remember: The facilitator is a neutral person whose job is to summarize and clarify what others in the group are saying. S/he also needs to be the timekeeper. After 5 minutes of discussion, the facilitator needs to stop and summarize. Then someone else in the group takes a turn. If the topic becomes overworked in the group, the facilitator can guide the group to a new topic.

Ask any extras (those not assigned to groups of six) to serve as observers. You, too, need to mingle between groups as an observer.

Discussion questions:

-- In your role as facilitator, did you experience any difficulties or discomfort? Was it hard, easy?
-- As members of the group, was the facilitator effective in helping you understand what was said? Why/why not?
-- What did you learn about listening and restating from this exercise?

Wrap-Up

- Go back to team members' responses to your first question: Is listening important in collaborative environments? Ask them to review their answers and select 2 reasons why listening is important. For the 2 reasons, ask them to list techniques, skills, suggestions (taken from what they have just learned) to ensure that effective and empathic listening will occur.

MEETING MANAGEMENT

Meetings are one of the most complex activities you "do." -- Michael Doyle

The resources used for this section are based on the book How To Make Meetings Work by Michael Doyle and David Straus. You need to read the book in advance and assign as homework reading for team members. Doyle and Straus present the Interaction Method to meeting management. We find this method very effective because it emphasizes collaborative "win/win" techniques and stresses facilitation rather than control.

You will also need to video-tape 15 - 20 minutes of a meeting, preferably one in which the participants are unknown to team members, or have several team members role play a meeting that they have planned in advance.

◆ Meetings Cost Money

Objective:

- To show the high cost of nonparticipation in meetings.

Activity:

- Divide team members into groups of 6 - 8 and ask them to briefly brainstorm a list of the meetings they typically attend during the week. Specifically ask them to record the hours per week each spends in meetings and compute a group average. Establish an agreed upon hourly rate of pay and the average number of people at each meeting. Compute an hourly average.

  Determine if the dollars are well spent.

- Have each group present its findings to the other members. You then lead a discussion on the usually high numbers each group comes up with and discuss the importance of effective meetings with active participation and worthwhile outcomes.

  Quickly review the "10 Dimensions That All Meetings Have in Common" from **Managing Meetings** (p. 141, Theories and Models in Applied Behavioral Science. Vol. 2, Pfeiffer & Co.). You can list on flip chart, use overhead on last page, or handout to the team members.

  Next, review the four well-defined roles and responsibilities outlined in the Interaction Method (see p. 85-86 of How to Make Meetings Work.) Answer any questions.

- **Meeting Critique**

Objective:

- To observe the meeting process and the roles members play.

Activity:

- Review the **Meeting Diagnostic Sheet and Checklist** (pp. 291-294, How to Make Meetings Work).

- Play the video tape of a meeting or role play a meeting. Ask team members to note their observations on the **Meeting Observation Form** (Attachment 4.6).

  Review the team's observations by eliciting their responses to the questions on the form.

  -- Could the group identify the facilitator, recorder, and group members?
  -- Were they effective in their roles?
  -- What was working?
  -- What could have been improved?

  To close, review the **Eighteen Steps to Better Meetings** (pp. 289-290, How to Make Meetings Work).

Handling Difficult People

Objectives:

- To identify dysfunctional behaviors in meetings.
- To plan and test coping strategies for dealing with such behaviors.

Activity:

- Divide the team in half and hand out the **Meeting Management Worksheet** (1986 Annual: Developing Human Resources, University Assoc.). Ask each group to identify a recorder, facilitator, and observer.
- Tell the groups their task is to reach consensus on the seven situations. The method they use is up to them.

  As the groups come to consensus, distribute the answer sheet, and ask them to compare their answers.
- Once this step is complete, ask the recorders to report on the decisions reached. Then ask the observer to report on what s/he saw. The following questions can then be discussed:

  -- Which of these behaviors did you recognize? In yourself? In your group just now?
  -- What are some insights or methods you can take away from this experience? How will you use them?

Managing Collaborative Meetings

Objective

- To develop a strategy for managing team meetings collaboratively.

  Acquiring effective skills in meeting management comes by "actually doing it"! What suggestions do you have for increasing your opportunities for practice at work and in this program?

  If the group needs a push, hand out **50 Ways to Introduce These Tools** (Attachment 4.7) to spark discussion. Have them select 10 suggestions.

Number 9, Rotate facilitator, is one that needs to be listed and practiced in other sessions, just as recorder and observer should be rotated. Determine who will take these roles for the next session.

Wrap-Up:

- Close this session by asking team members:

  -- What did you learn today?
  -- What will you take back to work with you and start using?
  -- Why are listening, networking, and managing meetings critical colloborative commuication skills?

FEEDBACK FORM

IEL needs your feedback on the Facilitator's Guide to keep us on the cutting edge of training collaborative leaders. Please take a few minutes to reflect on this unit, the team members' reactions, and your suggestions for any changes. Thank you for answering the questions below and returning the form with your day's agenda and list of resources used. **Please fax them to Wendy Russell at 202-872-4050.** THANK YOU!

1. Which activities were most effective? Why?

2. What would you do differently, if you repeated this unit? Why?

3. Which resources did team members find useful, relevant? Did you supply additional ones? If so, what?

4. What were the team's key learnings?

5. What were your key learnings?

6. Other comments or suggestions?

Facilitator's Guide to Resources

The following books can be found in libraries and bookstores:

☐ Burley-Allen, Madelyn. Listening: The Forgotten Skill. New York: John Wiley & Sons, Inc., 1982.

☐ Covey, Stephen R. The 7 Habits of Highly Effective People. "Habit 5," New York: Simon & Schuster, 1989.

☐ Doyle, Michael and David Straus. How To Make Meetings Work. New York: The Berkley Publishing Group, 1976.

Three other recommended "good books" are:

☐ Geeting, Baxter and Corinne. How To Listen Assertively. New York: Monarch Press - Simon & Schuster, 1976.

☐ Mamchur, Carolyn. How To Run Productive Meetings. Alexandria, VA: Association for Supervision and Curriculum Development, 1991.

☐ Roane, Susan. How To Work a Room. New York: Warner Books, 1988.

The La Monica Empathy Profile can be ordered from XICOM by calling 1-800-759-4266. $5.25 each.

Other resources:

☐ Biagi, Bob. Working Together: A Manual for Helping Groups Work More Effectively. The Citizen Involvement Training Project (CITP): University of Massachusetts/Amherst, 1978. (Center for Organizational and Community Development, 413-545-2038)

☐ Deep, Sam and Lyle Sussman. Smart Moves. Reading, MA: Addison & Wesley Publishing Company, Inc., 1990.

☐ Getting Connected: How to Find Out about Groups and Organizations in Your Neighborhood. Center for Urban Affairs and Policy Research, Northwestern University, Evanston, Il, 1988. ($3.00, 708-491-3395.)

☐ Raye-Johnson, Venda. Effective Networking: Proven Techniques for Career Success. Los Altos, CA: Crisp Publications, 1990.

Handouts and activities can be found in college libraries or ordered from the publisher:

☐ Costigan, James I. and Martha A. Schmeidler, " Exploring Supportive and Defensive Communication Climates: The Communication Climate Inventory," Instrumentation Kit. Ed. J.W. Pfeiffer,San Diego, CA: University Associates, Inc., 1987.

☐ "Diagramming Communication Networks," Theories and Models in Applied Behavioral Science, Volume 2: Group. San Diego, CA: Pfeiffer & Co., 1991, pp. 91 - 94.

☐ "Multichannel Communication," Theories and Models in Applied Behavioral Science, Volume 2: Group. San Diego, CA: Pfeiffer & Co., 1991, pp. 49 - 52.

☐ "The Johari Window," Theories and Models in Applied Behavioral Science, Volume 2: Group. San Diego, CA: Pfeiffer & Co., 1991, pp. 43 - 47.

☐ "Preferred Methods of Communication," Hirsh, Sandra K. and Jean M. Kummerow. Introduction To Type in Organizations. Palo Alto, CA: Consulting Psychologists Press, Inc., 1990, p. 7.

☐ "Managing Meetings," Theories and Models in Applied Behavioral Science, Volume 2: Group. San Diego, CA: Pfeiffer & Co., 1991, pp.137 - 142.

☐ "Meeting Management: Coping With Dysfunctional Behaviors," No. 421 The 1986 Annual: Developing Human Resources. San Diego, CA: University Associates, 1986.

ATTACHMENTS

Communications:

4.1 Saying It Without Words Instructions for A and C

4.2 Blocks to Developing Trust and Effective Communication Handout/Overhead

Networking:

4.3 Network Overhead

Listening:

4.4 Chinese Character Overhead

4.5 Simon Says Direction Sheet

Meeting Management:

4.6 Meeting Observation Form

4.7 50 Ways to Introduce These Tools . . .

Attachment 4.1
p. 1 of 2

SAYING IT WITHOUT WORDS INSTRUCTIONS

Task Sheet for Participant A:

(Copy this sheet for A and B)

You are at a regular meeting of your group or board. Try to communicate the following non-verbal messages to your partner (C) without any auditory sounds. (Take about 30 seconds for each of the following):

1. You're excited about the issue which is now being dealt with in the meeting.
2. You couldn't care less about what happened on this new issue.
3. You really want to get on to the next topic which interests you a great deal more.
4. You're upset with the way things are going in the meeting.
5. You have to go to the bathroom.
6. It's time for a break.
7. You're wondering why the chairperson doesn't stop talking and let someone else speak.

Source: Working Together: A Manual for Helping Groups Work More Effectively.

SAYING IT WITHOUT WORDS INSTRUCTIONS

Task Sheet for Participant C:

(Copy this sheet for B and C)

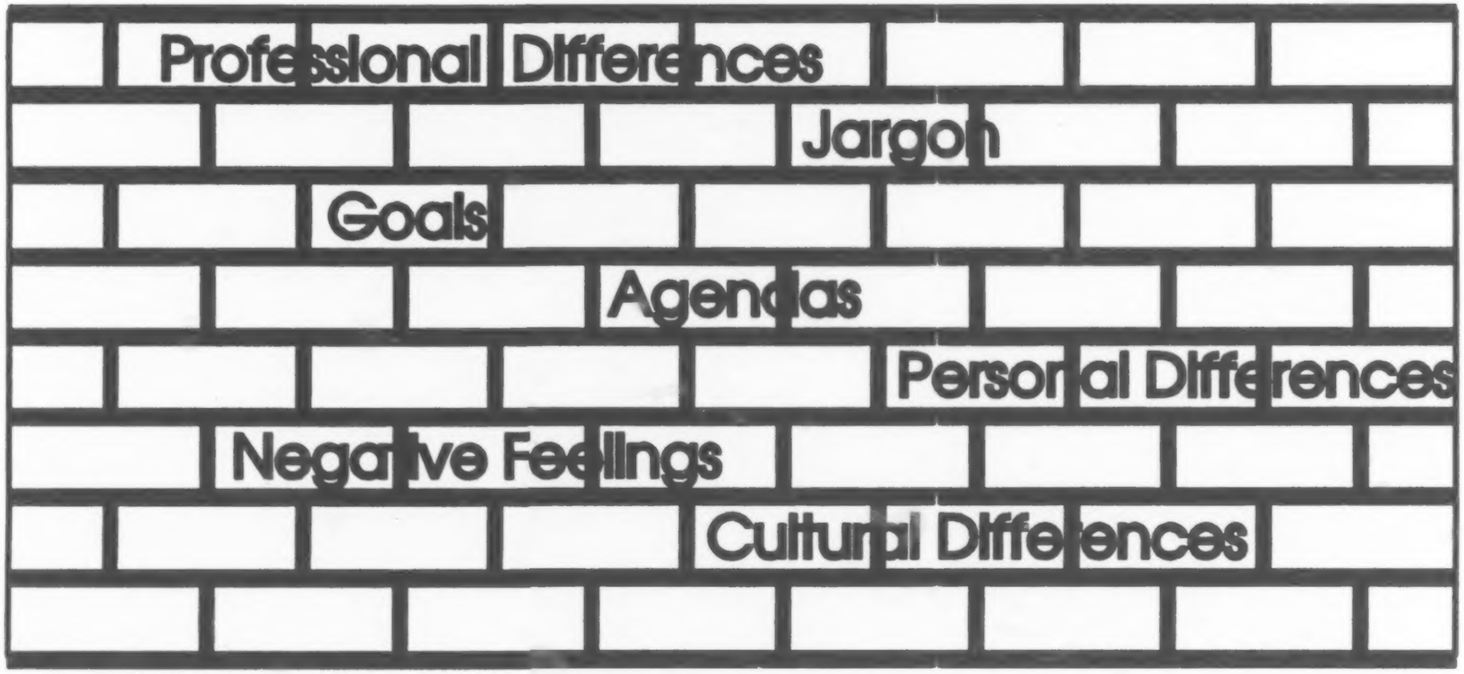
You are at a regular meeting of your group or board. Try to communicate the following non-verbal messages to your partner (C) without any auditory sounds. (Take about 30 seconds for each of the following):

1. Why doesn't the person next to you shut up so you can hear what's going on in the meeting?
2. You agree with the point just made by (A) who is sitting across the table.
3. Your rushed lunch doesn't agree with your stomach.
4. You want to say something if there is time left.
5. You want very strongly to answer the person who just spoke, but you keep getting interrupted.
6. You want a stick of gum which someone else has in their pocket.
7. You're tired and you want to go home.

Source: Walking Together: A Manual for Helping Groups Work More Effectively.

Attachment 4.2

BLOCKS TO COMMUNICATION



Professional Differences

Jargon

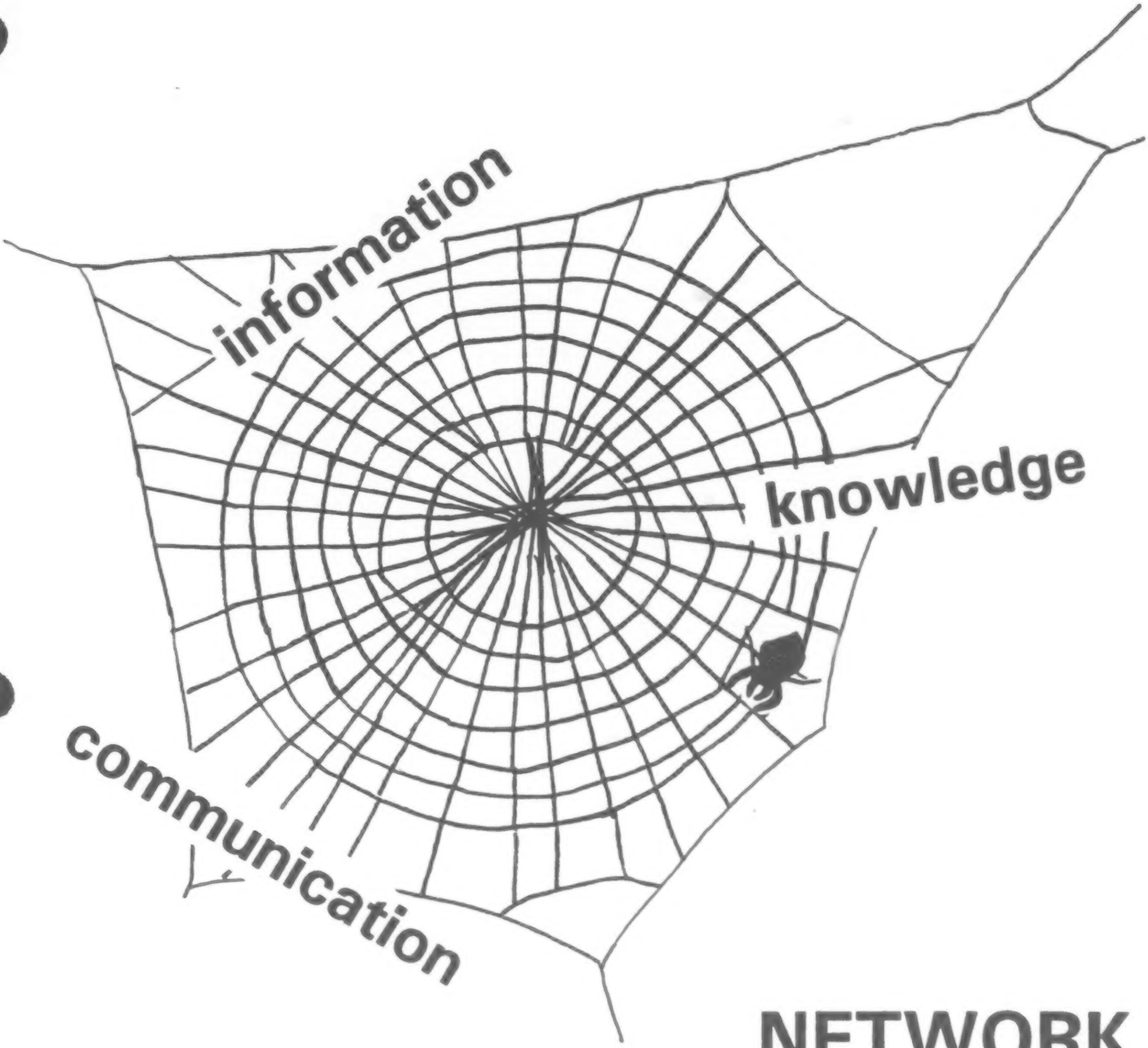
Goals

Agendas

Personal Differences

Negative Feelings

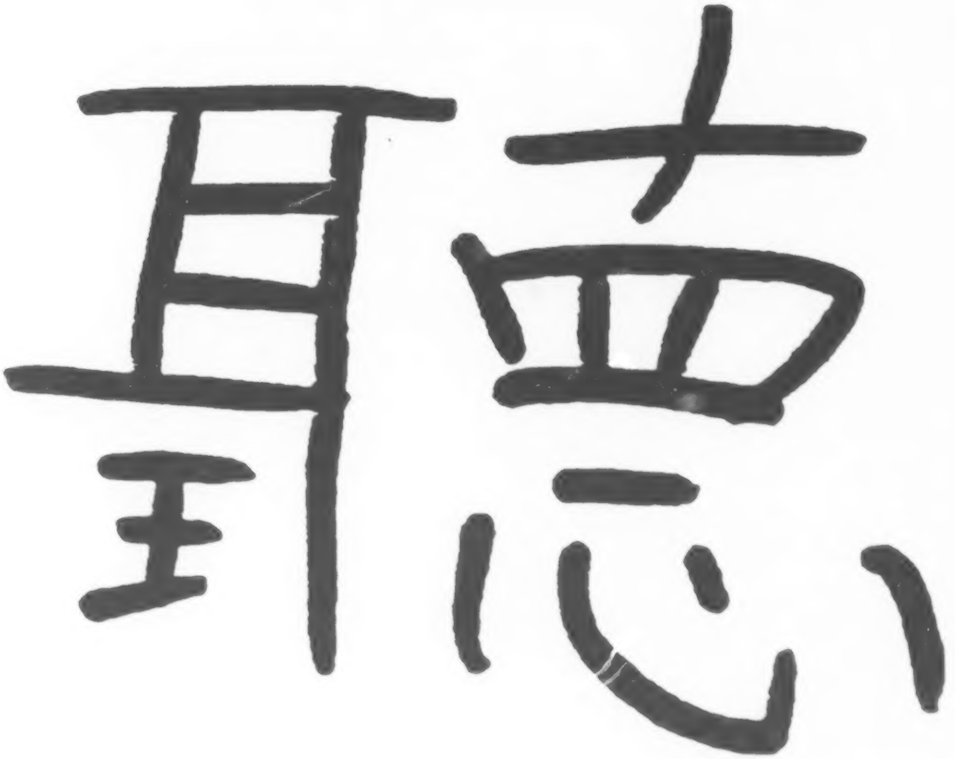
Cultural Differences


information
knowledge
communication

NETWORK

Attachment 4.4

CHINESE CHARACTER "TO LISTEN"



(INCLUDES SYMBOLS FOR THE EAR, HEART, AND WITH EFFORT)

Attachment 4.5

SIMON SAYS DIRECTION SHEET

(Read these out loud, clearly, but quickly.)

1. On the top of the left hand side write the name of the country you live in at present.
2. Along the right-hand side write the name of the state you live in presently.
3. Draw a line from the top right-hand corner to the bottom left-hand corner.
4. Draw a line from the center of the top to the center of the bottom.
5. Fold your paper along the center line with the left side over the right side.
6. Now draw a diagonal line from the top left corner to the bottom right corner and write your first name three times on the diagonal line.
7. Fold your paper into thirds and hand it to the person next to you.

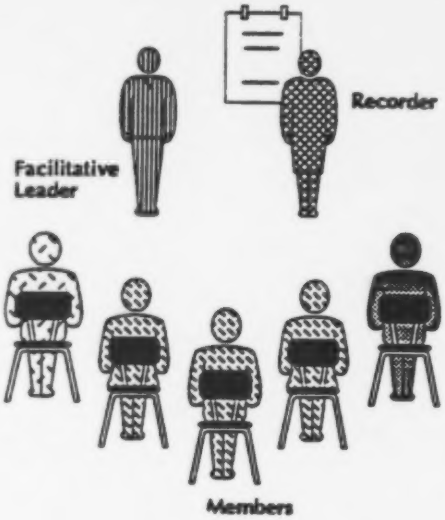
Source: Working Together: A Manual for Helping Groups Work More Effectively.

Attachment 4.6

MEETING OBSERVATION FORM

Instructions for the Observer:

1. During the video/role play, jot down your observations. How well is the meeting process working and why? What changes would you make?
2. Watch for how the Facilitator and Group Members:
   - Encourage participation
   - Maintain Focus on the task
   - Help build small agreements
   - Stay positive and highlight potential for success.



+ What Worked?	♣ What could be improved?

Interaction Associates, Inc.

Notes

Attachment 4.7

50 WAYS TO INTRODUCE THESE TOOLS TO YOUR ORGANIZATION

1. Put flip charts, Magic Markers, and tape in your conference rooms or office.
2. Set up the group memory ahead of time.
3. Use a flip chart and display the group memory one sheet at a time.
4. Start preparing content/process agendas. Get group input and ownership of the agendas.
5. Write the agenda on a large sheet so everyone can see it.
6. Ask at the beginning of this meeting, "What will success look like? How long are we meeting?"
7. Facilitate from your seat as a group member.
8. Use facilitative behaviors as a manager.
9. Rotate the role of facilitator in the group.
10. Bring in someone to facilitate from another department.
11. Give everyone in the meeting a copy of *How to Make Meetings Work*.
12. Put a copy on your boss's desk.
13. Hold a process analysis session at the end of one of your next meetings.
14. Make a visual/verbal presentation as a way to start introducing visuals.
15. Keep the meeting problem focused at first. Ask, "What's the problem?"
16. Put up facilitation posters in the meeting room.
17. Develop a standard organization agenda form.
18. Send your people to "Manage Your Meetings" Workshop or set up an in-house workshop.
19. Set up a buddy system for process analysis and coaching.
20. Make process analysis a regular part of the end of your meetings.
21. Develop a set of meeting guidelines and procedures for the organization.
22. Hold a staff briefing session.
23. Pass out pamphlets on the Interaction Method.
24. Set up an internal facilitation service and give a few key people intensive facilitation training.
25. Get some people in your organization licensed to teach this course in-house.
26. Hold feedback and evaluation sessions more frequently.
27. Become a process coach in your meetings and train your people.
28. Clarify roles and decision making power at the beginning of the meeting.
29. Focus on process instead of content issues periodically at meetings.
30. Change the seating arrangements to a U-shaped table or to a semicircle without a table.
31. Hold off-site meetings.
32. Videotape and analyze one of your meetings.
33. Introduce and model the Interaction Method at top staff meetings.

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34. Introduce the Interaction Method all at once.
35. Introduce one piece of the Interaction Method at a time.
36. Introduce the Interaction Method on safe issues first. Get some successes and take on the tougher issues later.
37. Hold one-item agenda meetings.
38. Find problems for the group to solve.
39. Protect all individuals in the meeting from attack or ridicule.
40. Adopt a win/win attitude.
41. Model the body language you want to see in the group.
42. Avoid using the boss's office for meetings.
43. Share the responsibility for meeting success with meeting participants.
44. Make process commercials periodically throughout the meeting: "We can't solve two problems at once, which one do we want to work on first."
45. Change your seat at every meeting.
46. Help the meeting leader get through the agenda.
47. Hold self-training and support-group sessions periodically.
48. Hold more problem solving and less information sharing meetings.
49. Exhibit facilitative behaviors.
50. Keep the group's planning process open, visible, and explicit.

Source: Interaction Associates

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ENVISIONING CHANGE

Creating a shared vision.

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GOAL

To create a shared vision.

Team members explore vision and visionary leadership behaviors by completing a questionnaire, discussing homework readings, and mapping a visioning strategy.

OVERVIEW OF CRITICAL EVENTS

☐ The Leader Behavior Questionnaire (LBQ) assesses the extent to which participants engage in each of five visionary leadership behaviors.

☐ Team members draw on homework readings to discuss vision, visionary leadership, and vision statements.

☐ Working in small groups, team members design a strategy to develop, sell, and implement a vision.

☐ Team members create a vision statement.

TODAY'S OBJECTIVES

☐ To review the basic concepts of vision and visionary leadership.

☐ To explore the question: "To what extent am I a visionary leader?"

☐ To develop a plan for practicing and strengthening the five visionary leadership behaviors.

☐ To create a vision for guiding collaborative efforts.

RESOURCES

- ☐ Belasco, James A. Teaching the Elephant to Dance. New York: Penguin Books, 1990. *Chapters 6 & 7,* pp. 98 - 150.
- ☐ Doyle, Michael. "The Magic of Organizational Visioning," ASAE Journal. September 1990, pp.29 - 33.
- ☐ Sashkin, Marshall. Becoming A Visionary Leader. King of Prussia, PA: Organizational Design and Development, 1986.
- ☐ Senge, Peter M. The Fifth Discipline. New York: Doubleday, 1990. *Chapter 9: "Personal Mastery," and Chapter 11: "Shared Vision."*
- ☐ Sheive, Linda T. and Marian B. Schoenheit, Eds. Leadership: Examining the Elusive. Alexandria, VA: Association for Supervision and Curriculum Development, 1987. *Chapter 7: "Vision and the Work Life of Educational Leaders,"* pp. 93 - 103.
- ☐ Tichy, Noel M. and Mary Anne Devanna. The Transformational Leader. New York: John Wiley & Sons, 1990. *"Act Two: Creating A New Vision"* pp. 89 - 147.

Other Good Resources:

- ☐ Bennis, Warren and Burt Nanus. Leaders, New York: Harper & Row, Publishers, 1985. "Strategy I: Attention Through Vision," pp. 87 - 109.
- ☐ Future Vision: The 189 Most Important Trends of the 1990's. Naperville, IL: Sourcebook Trade, 1991.
- ☐ Linden, Russell, M. From Vision To Reality. Charlottesville, VA: LEL Enterprises, 1990.
- ☐ Tregoe, Benjamin B. Vision In Action. New York: Simon and Schuster, 1989.

HOMEWORK

- Complete the Leader Behavior Questionnaire or "LBQ" (Self).
- Ask three colleagues to complete and return to you the Leader Behavior Questionnaire (Other).
- Give some thought to your organization's vision. Does it have one? Is it clearly articulated?
- Complete the assigned reading.

FACILITATOR'S NOTES

This is an in-depth unit on vision: identifying visionary leadership and creating and implementing a vision. Have team members help you determine which are priorities for them. This unit is designed for a one-day session. You can use some or all of the activities, or divide them into different sessions.

The Leader Behavior Questionnaire (LBQ) needs to be ordered in advance so the materials can be distributed to the group. Equally important, the instruments need to be completed prior to the sesssion to save time.

There is a lot of good material available on vision. The resources recommended here discuss vision creation. You might want to suggest others.

A shared vision is the answer to the question, "What do we want to create?" – Peter Senge, The Fifth Discipline

CRITICAL EVENTS

Visionary Leadership Assessment

Objectives:

- To explore the question: "To what extent am I a visionary leader?"
- To develop a plan for practicing and strengthening the five visionary leadership behaviors.

Activities:

- Participants are guided through the steps for scoring and interpreting the LBQ results.

  We suggest you use the overheads and materials that accompany the instrument. See "Resources" below for ordering information.

- Participants review their individual LBQ results.

  [10 - 15 mins. Circulate to assist and answer any questions.]

- In small groups of four, participants discuss their LBQ results. Team members share strengths, areas for development. [20 mins.]
- Still in small groups, team members discuss and then outline their individual plans for further development on one of the LBQ scales, or plan to use a strength area more effectively on the job. Encourage participants to include specific actions they will take in key situations.
- In large groups, team members volunteer to share their action plans for further visionary leadership development. [30 mins.] Determine a check-in date to assess team members' progress.

The vision must provide stability. It inspires the confidence necessary to induce constant risktaking. -- James Belasco, Teaching the Elephant to Dance

Homework Discussion:

Objective:

- To review the basic concepts of vision and visionary leadership.

Activities:

❖ Participants (in a large group) discuss the following questions:

-- What is a vision?
-- What constitutes a good vision statement?
-- Do your organizations have vision statements? What are they? Are these statements organizational or universal?

Chart the responses to each question, then reach a consensus answer for the first two questions. Write down all the statements given in response to No.4. An organizational statement focuses on the workplace; universal extends across several organizations. [1 hour.]

Lunch

Vision Mapping:

Objective:

- To develop a strategy for creating and selling a vision.

Activities:

❖ Working in four or five small groups, each maps out a strategy for the following:

-- How to develop the vision;
-- How to sell the vision; and
-- How to implement the vision.

Remind the groups that the goal is to not only write a vision statement, but to design a strategy for a visioning process. If it helps, team members might want to work in the abstract, or work with a specific work-related scenario. Groups record the strategies on newsprint to facilitate reporting. [45 mins.]

- The small groups report on their strategies. Team members critique or comment.

  Depending on the differences between the groups, you may want to have the group synthesize the strategies. Or if one stands out, the group may want to highlight it. The goal is not to single out one strategy in particular, but to reach a common agreement on a basic "road map" that everyone finds helpful.

Developing a vision and values is a messy, artistic process.
-- Tom Peters, Thriving on Chaos

Vision Quest

Objective:

- To create a vision to guide collaborative efforts.

Activities:

- To begin, review Senge's concept of "creative tension" -- the gap between reality and a shared vision" or a statement of a preferred future. It reflects your hopes, dreams and aspirations. Visioning is a free-form process in which you create the future you want. It does not offer a solution, but a picture of the future.

- Ask the group to relax, close their eyes, and consider this scenario: It is 2 years from now (year ___). What would you like to see? With whom are you working? What are you doing? What are the outcomes?

  As the images appear, write them down, draw a picture, make a list. Transcribe your vision to flip chart paper and post it on the wall.

- When everyone has posted his/her vision, ask the entire team to walk around and view the "exhibit". Ask them to look for common themes, surprises, good ideas, and other things that should be included in a shared vision. **Elements of Vision Questions** (Attachment 5.1) may be useful.

- When the group comes together, ask for ideas to be included in a shared vision. Post the ideas on chart paper.

- In small groups, team members draft a vision statement using the ideas from above.

  Your vision statement has these features:

  - Uses a short, simple statement;
  - Offers some value-added and market advantage factors;
  - Positively distinguishes your collaborative in the minds of everyone with whom your collaborative interacts (customers, employees, suppliers); and
  - Provides clear, inspiring, decision-making criteria.

- The small groups share their vision statements (written on newsprint).

- The large group then reaches a consensus on the statement (or synthesized statement) that team members want to adopt. Probe for commitment to the resulting vision statement. Have the vision statement printed and given to everyone.

Wrap-Up & Preparation

Objective:

- To review lessons learned, and apply them in the work setting.

Activities:

- The participants discuss the following two questions:
  - What key lesson did you learn about creating a shared vision today?
  - How will you use that lesson in your work?

- Discuss plans for the next meeting and distribute resource materials.

FEEDBACK FORM

IEL needs your feedback on the Facilitator's Guide to keep us on the cutting edge of training collaborative leaders. Please take a few minutes to reflect on this unit, the team members' reactions, and your suggestions for any changes. Thank you for answering the questions below and returning the form with your day's agenda and list of resources used. **Please fax them to Wendy Russell at 202-872-4050.** THANK YOU!

1. Which activities were most effective? Why?

2. What would you do differently, if you repeated this unit? Why?

3. Which resources did team members find useful, relevant? Did you supply additional ones? If so, what?

4. What were the team's key learnings?

5. What were your key learnings?

6. Other comments or suggestions?

FACILITATOR'S GUIDE TO RESOURCES

The following books can be found in local libraries or bookstores:

☐ Belasco, James A. Teaching the Elephant to Dance. New York: Penguin Books, 1990. $9.95

☐ Nanus, Burt. Visionary Leadership. San Francisco: Jossey-Bass Publishers, 1992. $24.95.

☐ Senge, Peter M. The Fifth Discipline. New York: Doubleday, 1990. $22.95

☐ Tichy, Noel M. and Mary Anne Devanna. The Transformational Leader. New York: John Wiley & Sons, 1990. $14.95

We recommend this book be purchased for the group as several Chapters are used in other units:

☐ Sheive, Linda T. and Marian B. Schoenheit, Eds. Leadership: Examining the Elusive. Alexandria, VA: Association for Supervision and Curriculum Development, 1987. Call: 703-836-5298. $13.00

The Leadership Behavior Questionnaire (Self and Other), The Trainer Guide and Copies of the monograph listed below can be ordered through Organization Design and Development, Inc., 215-279-2002.

☐ Sashkin, Marshall. Becoming A Visionary Leader. King of Prussia, PA: Organizational Design and Development, 1986.

The following article can be found in local libraries:

☐ Doyle, Michael. "The Magic of Organizational Visioning," ASAE Journal. September 1990.

The following article **is attached** and can be copied for distribution:

☐ Schorr, Lisbeth B. "Attributes of Effective Services for Young Children: A Brief Survey of Current Knowledge and Its Implications for Program and Policy Development." Paper prepared for The National Forum on the Future of Children and Families, November 1, 1990. pp. 1 - 21.

ATTACHMENT

5.1 Elements of Vision Questions

Elements of Vision Questions

Outcome-oriented: How can an outcomes-driven system be created

- What outcomes do we seek from our children and family serving institutions?
- What mechanisms must be developed to improve accountability for individual and community outcomes and the cost-effective utilization of existing resources?

Comprehensive: What mechanisms will be used to ensure that a wide range of developmental support and treatment services are available to all children and families in the community?

- What should be the range and scope of services?
- What should be the balance among developmental, support and crisis-oriented services?
- Who has resources (including staff, materials, funds, expertise) or services which could be redirected to a joint effort?
- What steps should be taken to ensure that some level of service is provided for all families but with resources efficiently used by reserving the bulk of resources for the most in need?
- What should be the relationship between new or relocated staff and allied school personnel (psychologists, social workers, nurses) who may already be performing some of these services?

Culturallv Sensitive: What mechanisms will be necessary to ensure that cultural differences are respected and appreciated?

- What will be needed to reduce language barriers between providers and families?
- How can fear and suspicion especially among immigrant populations be overcome?
- What needs to be done to establish assessment and treatment processes which define "normal" in the context of the family's culture?
- What actions should be taken to ensure that service delivery is not only equal and non-discriminatory but responsive to the needs of each community?

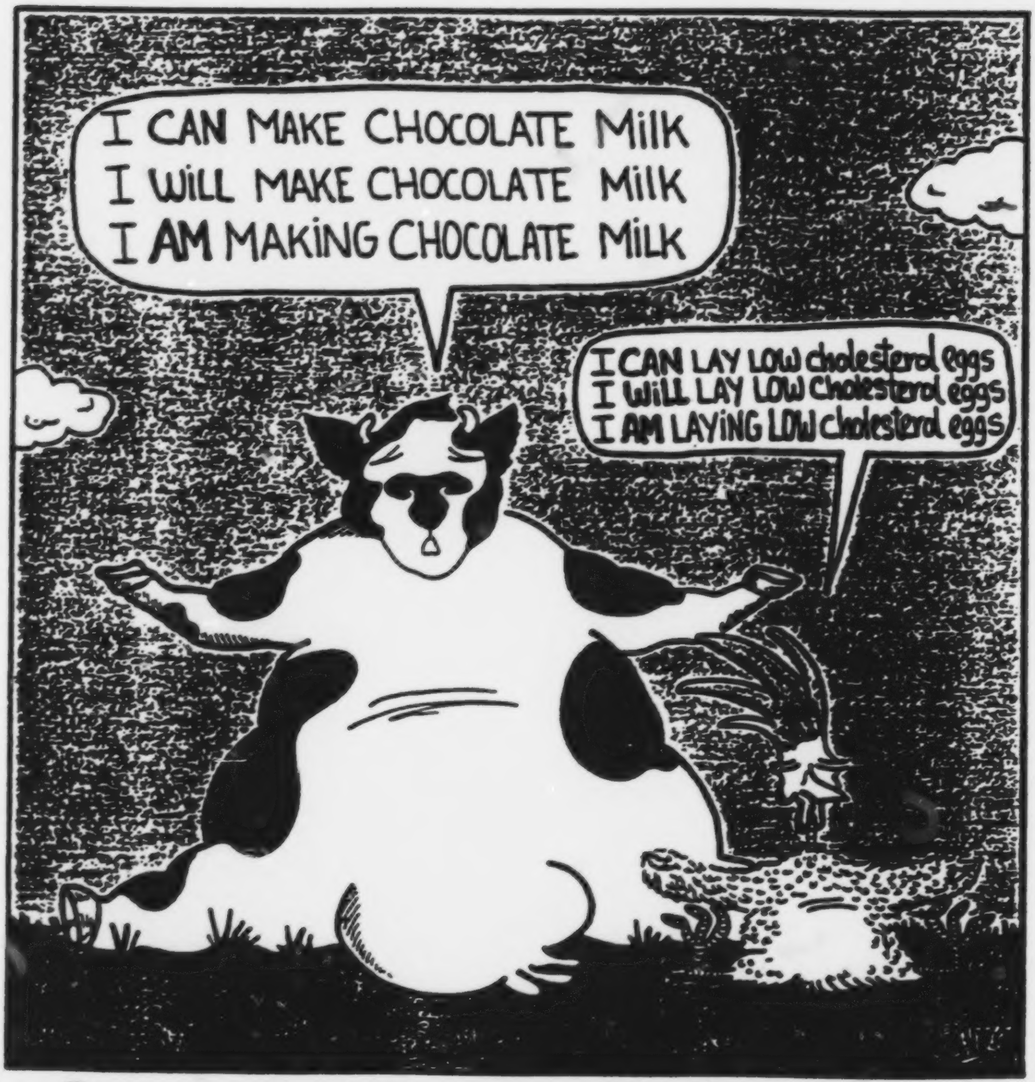
Familv Centered and Familv Driven: What measures must be taken to define the family as a source of strength and family members (including extended family who play a key role) as partners in service delivery?

- How, where and what services will be provided for older youth and adult family members?
- What steps will ensure that families themselves decide what services will be best for them ?
- How will the stigma associated with seeking services be minimized?
- How will services be str~tured to emphasize voluntary participation while ensuring children's basic security?
- What measures will be needed to prevent undue intrusion into family matters (especially among immigrant populations) and adequate protection of privacy rights?

Accessible: What mechanisms will be used to ensure that families find what they need when they need it?

- Where will services be provided?
- What mechanisms will be used to make referrals and ensure follow up?
- What provisions will ensure that families who are the hardest to reach can enter the system?
- How will intake and other services be user-friendly?

Source: Martin Blank, IEL


I CAN MAKE CHOCOLATE MilK
I WiLL MAKE CHOCOLATE MilK
I AM MAKiNG CHOCOLATE MilK
I CAN LAY LOW cholesterol eggs
I WiLL LAY LOW Cholesterol eggs
I AM LAYiNG LOW cholesterol eggs

Daisy and Bubbles practicing "creative visualization"

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Attributes of Effective Services for Young Children: A Brief Survey of Current Knowledge and Its Implications for Program and Policy Development

by Lisbeth B. Schorr*

Paper prepared** for
THE NATIONAL FORUM ON THE FUTURE OF CHILDREN AND FAMILIES
Workshop on Effective Services for Young Children
November 1, 1990

The purpose of this paper is to set the stage for consideration of strategies to improve services for young children by the National Forum's Workshop on Effective Services for Young Children. It focuses on what is known about the attributes of services that seem to be effective in changing outcomes for children who have been least well served in the past, in the belief that effective policies and strategies must accurately reflect what is known about what works at the level of the local program, where the service or support meets the client/ participant/pupil/patient/family.

Section I describes briefly where the services, programs, and interventions under consideration fit within anti-poverty policy and the broader range of social policies for children and families.

---

* Lisbeth Schorr is Lecturer in Social Medicine, Harvard University.

** Deborah R. Both, Senior Research Associate, National Forum on the Future of Children and Families, generously provided valuable assistance in the preparation of this paper.

Section II addresses the question of how one can make reasonable judgments about whether programs are successful, and about the program attributes that seem to be essential.

In Section III, I describe a set of seven attributes that seem to characterize effective programs.

In Section IV, I attempt to tease out some of the implications of current findings about the attributes of effective programs, perhaps the most important of which is that the development, spread, and successful operation of effective programs requires changes in the systems within which programs are funded, held accountable, evaluated, and within which they recruit and retain personnel.

I. The Policy Context

The services, programs, and interventions that are the subject of the Forum Workshop on Effective Services for Young Children, and the focus of this paper, are a subset of the broader range of anti-poverty policies and other social policies needed to improve outcomes for children and families in the U.S. today.

Among the concerns which have prompted increasing public anxiety, and that seem to have stimulated interest in communities throughout the country to take action to improve the conditions of children and families, are the following:

High rates of childhood poverty.

High rates of single parent families, school-age childbearing, and welfare dependency.

High rates of school dropout and school failure.

Lack of skilled, motivated workers to keep the U.S. economy productive and competitive.

High rates of drug and alcohol abuse and family disintegration; children growing up abused, neglected, unsupervised, and ill prepared to benefit from schooling.

High rates of violence; high social costs of rising rates of imprisonment and violent crime.

An increasingly polarized society, a growing gap between haves and have-nots, the existence of populations that may remain permanently and inter-generationally outside the mainstream of U.S. society.

All of these problems are inter-related. Effective responses to any of these problems can be expected to ameliorate each of them. However, effective remedies are not entirely inter-changeable. Most notably, income poverty, the category of disadvantage which affects the largest number of children and families in the U.S., [1] will respond to economic solutions, whereas other forms of disadvantage will not respond to economic solutions alone. [2]

Somewhere between one fifth and one third of poor children, who may be called the Truly Disadvantaged, are unlikely to be lifted out of poverty by a rising economic tide, or to be helped significantly by income policies alone (such as an expanded Earned Income Tax Credit, a higher minimum wage, or stronger child support programs). These children must be helped to escape poverty through a range of interventions, some of which would raise the current incomes of the families in which they live, and some of which would raise in other ways their chances of school success, of productive, well-paid employment and of being able to create stable families of their own.

The families in which these children live are both urban and rural, but they are becoming increasingly concentrated in inner city neighborhoods characterized by high rates of single parent families, school dropout, early unmarried childbearing, long-term welfare dependency, unemployment, violent crime, social isolation, and inadequate schools and services. (Wilson, 1987)

Improved health, education, and social services would raise the chances of a productive life for all children, particularly for all poor children. For the most disadvantaged children, improved services are essential, to buffer them from the most serious consequences of their accumulated risks. For even expanded economic opportunities may remain beyond the reach of young people whose health has been neglected, whose early lives have left them without hope, and whose education has failed to equip them with essential skills.

In neighborhoods where persistent poverty and social dislocation are concentrated the absence of good services and schooling have actually become additional risk factors for this generation as well as the next. The institutions and services now in place have not interrupted the downward spiral for these children, or ameliorated the consequences of their poverty, because needed services are typically inaccessible, of poor quality, or simply do not exist. Available services are often the wrong ones, too cumbersome to reach, too fragmented, too late, too meager, or too narrow in scope. With a few noteworthy exceptions, the children who, along with their families, need the attention of the most skilled, experienced, and wise professionals, the best organized and best funded institutions and agencies, and the most comprehensive services, are dependent on doctors, clinics, social agencies, child care and schools that are tragically overwhelmed, and offer the worst and the least.

The absence of good services has contributed to the perpetuation of the intergenerational effects of disadvantage. The educational and service interventions that could raise the odds that youngsters will succeed at school, and be equipped with the skills they need to become productively employed at jobs that could support a family -- which would in turn increase their chances of avoiding too early parenthood and of being able to form stable families (Danziger and Stern, 1990, Furstenberg, 1987, McLanahan, 1988, Plotnick, 1987) -- those interventions are typically missing.

We now have it within our power to interrupt this cycle. A persuasive body of research and experience shows that the knowledge exists on which to build the interventions that will significantly improve outcomes among children and youth at risk, including the children who are Truly Disadvantaged.

II. The Burden of Proof: What is the Nature of the Evidence That We Should Consider Persuasive?

Twenty years ago, when social policy was formulated in an atmosphere of boundless optimism, the combination of a little theoretical research, fragments of experience, and a lot of faith and dedication were enough to justify a new social program. Today budget deficits, fears of wasting money and perpetuating dependency, ambivalence about helping the poor, and a gloomy sense of social problems beyond solution, have combined to reinforce demands for tangible evidence of effectiveness as a condition for support of any social program.

Several obstacles complicate the search for such evidence. The attempt to achieve the quantitative precision of research in the biological and physical sciences has interfered with meaningful evaluation of many kinds of human services. The pursuit of quantitative elegance has been particularly destructive in the evaluation of programs for the disadvantaged, because the very elements that make these programs effective among disadvantaged populations pose the greatest hurdles to the evaluator.

Programs that offer a broad array of individualized interventions, which may be most powerful in their interaction, and which have multiple outcome objectives, may be anathema to the evaluator faced with the task of designing a manageable and precise evaluation plan. Often the scope of the inquiry becomes unduly narrow -- many evaluation efforts attempt to identify a single effective ingredient in an immensely complex and interactive system. They tend to measure what can readily be measured, and may miss the effect of the intervention on more crucial outcomes. For example, the first evaluation of Head Start measured only IQ changes, despite the fact that the purposes of the program included increasing social competence, parent involvement, and improved access to health, nutrition, and social services.

In the interests of achieving clear evaluation results, the ability of successful programs to respond to the particular needs and desires of a given community or client population is often diminished by pressures to implement interventions that are uniform across sites, or to incorporate centrally designed program elements.

Other important elements of successful programs (such as that services are provided respectfully and ungrudgingly, in an atmosphere that is supportive and caring) are hard to standardize, to measure and document, even to describe in words that mean the same thing to different people.

Because of the difficulty in measuring significant outcomes, many evaluation efforts limit themselves to measuring or describing processes. (E.g., do participants attend, do they express satisfaction with the program, do providers express satisfaction with the program?) These process indicators, or interim outcome measures, can be extremely useful in both policy development and program management -- especially when research has provided relevant information that reliably links process indicators and outcome measures. Without such information, however, process measures are unlikely to be persuasive to skeptical policy makers.

The combination of these obstacles is formidable, but need not be paralyzing. In making judgments about "what works," the human services field could utilize some of the insights coming out of the management literature, which suggest that American business has often been handicapped by its practices of considering as "facts" only the data one could put numbers on; assuming that a truly rational analysis bypasses "all the messy human stuff;" and achieving precision by so reducing the scope of what is analyzed that the most important questions are ignored. (Peters and Waterman, 1982)

Approaches that combine relevant quantitative data with other kinds of information from theory, research, and experience across domains should make it possible to make rigorous and informed judgments about what has worked in the past and what is likely to work in the future, even among complex, multifaceted, and interactive interventions.

There is little argument that the pressures of politics and the needs for immediate action on urgent social problems force policy and program people to draw conclusions from less rigorous information than they, or the researchers they rely on, might wish for. The disagreement comes around the question of how rigorous the methodology must be, about how precise a quantification of both inputs and outcomes is required, to assure those relying on the findings that they are not being misled.

The approach taken in this paper combines information from theory, research, and experience from such different domains as preschool, primary, and secondary education; health care; child care; social services; family support; and job training. It combines informed judgments with a synthesis of quantitative data to the extent it is available and seems to reflect program operations and outcomes sensibly and accurately. One can think of this as **a meta-analytic approach which includes but is not confined to quantitative data.**

(Table 1 displays some of the available quantitative data on effectiveness from the domains of family planning, prenatal care, preschool education, and family support.)

By moving beyond isolated assessments of program effectiveness, and applying imagination, judgment and intelligence to understanding the relationships among diverse findings, it is possible to identify programs that work, and to search out the elements that seem to account for their effectiveness.

III. Attributes of Effective Services that Emerge from Analyzing Effective Programs in a Variety of Disciplinary and Bureaucratic Domains

Successful programs vary in many particulars, depending on their domain and auspices, and in response to the needs of the populations they serve. But they seem consistently to share a number of common attributes.

Within Our Reach: Breaking the Cycle of Disadvantage, (Schorr, 1988), described the operation of some seventeen programs in the fields of family planning, prenatal care, child health, child welfare/family support, child care and preschool education, and elementary school education, that had shown evidence of reducing rates of damaging outcomes in adolescence, or their antecedent risk factors, among disadvantaged children. These programs were examined for the factors that seemed to account for program effectiveness, and a number of common attributes were identified.

It now seems timely to revisit the conclusions drawn almost three years ago, and to refine and expand them in the light of subsequent findings from the same and other domains.

To arrive at an updated set of essential attributes of effective programs, I have reviewed my own earlier findings, as well as the findings of others who have reviewed successful programs for young children in health, child care, preschool and elementary education, mental health and social services. I have also incorporated findings from studies of effective schools, job training programs, programs for teen mothers, and other interventions aimed primarily at adolescents and young adults, to the extent they shed light on over-arching characteristics of effective services. (I have made no attempt to include findings particular to only a single domain -- e.g. nature of curriculum, or staff/child ratios in preschool programs.) Appendix I lists the sources on which the following set of attributes are based.

I believe that there is a growing consensus -- especially among practitioners -- that these are essential attributes. When these attributes are seen in their totality, a clear picture of policy implications emerges, which I believe would be sustained even if there were disagreement around some of the details of the individual attributes.

A. **Successful programs are comprehensive, flexible, and responsive. They take responsibility for providing easy and coherent access to services that are sufficiently extensive and intensive to meet the major needs of those they work with. They overcome fragmentation through staff versatility, flexibility, and by active collaboration across bureaucratic and professional boundaries.**

In the interests of providing continuity and a rich, comprehensive mix of services, these programs put previously disparate services together and add missing pieces by breaking down or crossing traditional barriers in ingenious and innovative ways. In responding to a wide range of needs, these programs do not, in fact, provide everything to everyone, but all offer more than a single category of service or support.

The effective prenatal care program may not itself provide housing assistance or drug treatment, but neither does it ignore the impending eviction or the sudden revelation of a drug problem by one of its patients. A Homebuilders therapist may help an overwhelmed mother to clean her kitchen, or the elementary school principal may add a washing machine to her office equipment. It is the unrigid, responsive stance of individual staff and of the program or institution as a whole that is characteristic, the fact that no one says, "This may be what you need, but helping you get it is not part of my job or outside our jurisdiction." (Schorr, 1988). It is the fact that staff, while always keeping their primary mission in mind, seem to be forever willing, in the words of Mary Jo Bane, to "push the boundaries of their job description," (Bane, 1990) or, as Gary Whelage puts it in writing about effective schools, to take on an "extended role" in the lives of their students (or patients or clients). (Whelage, 1989)

B. Successful programs deal with the child as an individual and as part of a family, and with the family as part of a neighborhood and community. Most successful programs have deep roots in the community, and respond to needs perceived and identified by the community. They collaborate with parents and local communities to create programs and institutions that respond to unique needs of many different kinds of populations.

Successful programs are not imposed from without, they are not "parachuted" into communities, but carefully and collaboratively integrated with local community needs, resources and strengths. (CSPA, 1990) They tend to be explicit about taking a developmental approach, recognizing the stages of the family life cycle and of child development. Most take a two-generational approach, responding simultaneously to the needs of children and their families.

In the Comer schools in New Haven, and in many Head Start programs, parents become long-term supporters of their children's education as their own needs are recognized and met. Successful programs respond to the immediate needs of an individual child, but do not stop there. The clinician treating an infant for recurrent diarrhea sees beyond the patient on the examining table to whether the family needs a source of clean water, or help from a public health nurse or social worker to obtain non-medical services.

C. Staff in successful programs have the time, training, skills, and institutional support necessary to create a secure and accepting environment, and to build relationships of trust and respect with children and families. **They work in settings that allow them to develop meaningful one-to-one relationships, and to provide services respectfully, ungrudgingly, and collaboratively.**

Staff of these programs tend to be well-qualified, highly motivated, sensitive, enthusiastic, committed, and to possess relevant life experience. The "centrality of human relationships" (Lightfoot, 1989) and the creation of "a warm, supportive environment" (Weiss, 1988) is repeatedly stressed when program staff are asked to reflect on program effectiveness, as is the need to draw disadvantaged populations into "a sense of membership in the community" (Whelage, 1989) by reducing the size of the institution, and emphasizing intensive, personal, caring, face-to-face relationships with responsible adults in many varied settings.

D. Programs that are successful with the most disadvantaged populations persevere in their efforts to reach the hardest-to-reach, and tailor their services to respond to the distinctive needs of those at greatest risk.

The attributes described above seem to be most crucial to success in dealing with the most disadvantaged. Both programs that work exclusively with high risk individuals and families, and those that serve a more heterogeneous population report that for those at highest risk, individualized services must be **more individualized,** intensive services must be made yet **more intensive,** and comprehensive services must be made yet **more comprehensive.**

For example, the components of conventional obstetrical medicine fall short of meeting the needs of pregnant women at multiple risk. A pregnant teenager who is depressed, frightened, not eating properly, using drugs or alcohol, and without a permanent home needs a great deal more if she is to have a healthy baby and get the help she needs in preparing to care for her new child.

Similarly, for the most disadvantaged young people, remedial education and skills training are most effective if delivered in a residential, intensive, highly structured environment, such as offered by the Job Corps. (Hahn and Lerman, 1985)

Many of the programs working with multiply disadvantaged children and families see them as so disconnected from the supports traditionally provided by families, that they have come to believe that if they are to effectively perform their formal functions of providing health, education, or social services, these must be coupled with a capacity to respond not alone with the supports traditionally provided by families, but that the style with which these supports are provided must be similar to the style with which families traditionally respond.

E. Successful programs are well-managed, usually by highly competent, energetic, committed and responsible individuals with clearly identifiable skills and attitudes.

These managers define and adhere to clear goals and missions, but provide for great flexibility in day-to-day operations, and allow the program to evolve over time in order to maintain its responsiveness to individual, family and community needs.

Considering how widespread is the belief that behind every successful program is a leader of such charismatic power that there are no more than two dozen such magical persons to be found in the land, it is significant that Olivia Golden of the Kennedy School at Harvard University has identified a number of distinctive (but non-magical) attributes possessed by managers of effective programs (1988, 1989). These include

> a willingness to experiment and take risks,
>
> to manage by "groping along," as the program continually evolves in response to changing needs,
>
> to tolerate ambiguity,
>
> to win the trust simultaneously of line workers, politicians and the public, with a powerful focus on agency mission, and careful attention to politically risky decisions,

to respond to demands for prompt, tangible evidence of improved outcomes.

to recruit, select, and supervise staff collaboratively, and to allow staff to make flexible, individualized decisions.

In short, these program managers have been able to use identifiable management techniques to create a new organizational culture, that is less rule-bound and more outcome-oriented than most traditional agencies, institutions, and systems. They create supportive settings that are stable enough to permit staff to learn from their own mistakes, and to draw on a broad base of experience and research in keeping the program responsive to changing needs.

F. Successful programs have common theoretical foundations and share certain basic premises.

Client (or patient or student) needs seem to guide the program more powerfully than the imperatives of the institutions and systems within which they operate. Staff of these programs clearly believe in what they are doing. Those in programs that intervene in the early years are convinced of the power of early intervention. Those that work with adolescents and young adults are convinced that "it's never too late to help."

Successful programs seek to replace the prevailing preoccupation with failure and crisis with an orientation that is long-term, preventive, and empowering. First-graders in the Baltimore schools' Success for All program are given "whatever help they need" to acquire basic reading-related skills, before they begin to fail and to fall behind. (Madden, et. al., 1988) Even programs like Homebuilders, whose intervention is triggered by a crisis, focus on long-term change, and on helping families to better control their own lives. Most successful programs have very concrete interim goals, but they see their purpose as helping to alter life trajectories over the long term.

IV. Implications of Our Findings Regarding the Attributes of Effective Services

> "Our doubts are traitors and make us
> lose the good we oft might win, by fearing to attempt."
> -- William Shakespeare

Perhaps the most striking conclusion that emerges from looking at these characteristics of effective programs is how different they are from most prevailing programs. As Mary Jo Bane points out, "The key to the success of these programs lies in the quality of interactions that go on between individual service providers and clients. These interactions tend to be situation specific and immediately responsive, like the interactions that go on in effective families or classrooms. They tend to be performed by relatively autonomous professionals who exercise a fair amount of discretion in responding to needs." (Bane, 1990)

Some observers conclude that programs that incorporate these attributes could never be made available to large numbers, because programs with these attributes are difficult to replicate, and tend to exist primarily outside or at the margins of large human service systems. With the notable exception of the Head Start program initiated as part of the War on Poverty, and the efforts to institutionalize family preservation and certain aspects of school reform, **a policy thrust to undertake systematic social change to make these unusual attributes the norm has not been seriously considered among developers of social policy.** In fact, a quite contrary view is typical. For example, the OTA's 1988 report, Healthy Children, concludes its review of effective nurse home visiting programs by noting that these programs are "run by dedicated, enthusiastic, and particularly skilled people, **so it is premature to conclude that the home visitor approach should be broadly applied."** (Emphasis added.) (OTA, 1988)

There is no doubt that the major attributes of effective services are fundamentally at odds with the dominant ways that most large institutions and systems are funded and the ways they are expected to assure accountability, quality, and equity:

> Comprehensiveness is at odds with categorical funding.
>
> Flexibility and front-line worker discretion are at odds with traditional training of professionals and managers, and conventional approaches to assuring accountability.
>
> Intensiveness and individualization are at odds with pressures to assure equity despite insufficient funds.
>
> A long-term, preventive orientation is at odds with pressures for immediate payoffs.
>
> The program's ability to evolve over time is at odds with the pervasiveness of short-term and often unpredictable funding.

Unless the American public is prepared to write off that part of the population that is not going to be effectively helped in the absence of programs that are intensive, comprehensive, family centered, community-grounded, etc., we must begin to engage in systematic exploration of how these prevailing practices might be changed.

The challenge is large: essentially to introduce a new culture into human service systems and into major governmental bureaucracies. Harvard political scientist Steven Kelman writes of this effort in a somewhat broader context as involving the essential "renewal of the public sector." (Kelman, 1990). Nothing less is implied by current findings regarding the attributes of effective programs.

On a more concrete level, the design of strategies aimed at the wider implementation of effective programs for disadvantaged children and their families should take account of the following seven propositions:

1. If effective services are to reach far larger numbers, information about the essential common attributes of successful programs must be widely disseminated, and accompanied by information about strategies to overcome the major impediments to implementing programs with these attributes.

We have operated too long on the assumption that program success alone will guarantee long term survival and growth. In the absence of supportive and responsive systems, successful programs do not contain the seeds of their own replication because they do not create systems change. Even the dissemination of information about successful models does not result in their replication in the absence of systems change. Local communities have to own and shape local programs, but local communities can't change state and federal regulations or funding incentives; nor can they protect their innovations from bureaucratic pressures that stifle the unusual.

Strategies based on the creation and dissemination of models is less likely to succeed than a dual strategy of identifying and disseminating the essential common attributes of successful programs, and identifying and reducing the major impediments to implementing effective programs. These impediments include prevailing methods of financing and regulating programs, of holding programs accountable, and of training professionals; policies governing eligibility and targeting; lack of widespread availability of appropriate technical assistance and of continuing information about promising new approaches to encouraging needed systems change; and lack of public understanding of the key issues.

2. New funding mechanisms must be developed for targeting resources to geographic areas where poverty and other risk factors are concentrated.

Successful programs seem to have been able to attract high risk populations to utilize a range of services, including preventive services, without basing eligibility on proof of individual failure or on identification of individual handicaps. The absence of high quality services in these areas, despite their desperate need, suggests the utility of targeting resources on distressed neighborhoods, with eligibility based on residence in the area.

One way this could be accomplished is by combining a certain proportion of current expenditures into a flexible funding stream which would support coherent array of intensive services in these areas. Through the use of automatic waivers and other regulatory or legislative changes, funds from maternal and child health programs, compensatory education, family support, child care, mental health and social services would become a predictable source of support to comprehensive programs targeted on a high-risk population that would be defined geographically. Neighborhood targeting would minimize barriers of access, reduce fragmentation, and impact the powerful neighborhood-level determinants of child and family well-being.

An initiative aimed at modifying public funding practices in this way could be modest in scale without being trivial. It would begin to change lives among the populations at highest risk; simultaneously, such a strategy would begin to grapple with a broad range of systems issues. It would give expression to a public policy that would get away from making eligibility for services contingent on individual proof of failure, but would recognize that whole communities may be so depleted that a critical mass of new sources of opportunity and support are required if ordinary youngsters are to succeed in climbing out of poverty and despair. Where systems have failed whole communities in the past, change probably must achieve a visible, critical mass to have a significant impact, and to inspire confidence in both clients and program staff that this time change is real and here to staa. A neighborhood focus would make it possible to achieve such a critical mass with substantially less money than would be required by programs that would also extend to less needy populations.

3. **Systematic measures are needed to bring about a major shift toward the use of outcome measurement to assure accountability in social programs.**

It is unlikely that the programs that are essential to changing outcomes for disadvantaged youngsters will receive adequate funds under more flexible conditions in the absence of their ability to document their effectiveness in improved real-world outcomes.

An enhanced capacity to measure outcomes would move the discussion about both policies and programs to a focus on changes in the lives of people. By shifting accountability from a reliance on rigid rules and on documenting processes to a reliance on substantive results, human service programs could more easily adopt the attributes of effective programs. (See Kelman, 1987, 1990; Hornbeck, 1990; Gardner, 1989).

It will require a great deal of sustained and thoughtful work to develop the critical outcome indicators that would allow informed judgments of whether a program is in fact accomplishing its intended purpose. Outcome measures must be designed carefully, so they will not become instruments of program corruption or distortion. But it seems more consistent with what we have learned about successful programs to engage in this struggle, than to continue past practices that put a premium on blind adherence to rules at the expense of accomplishing the program's purposes. A shift toward reliance on outcome measures would encourage "the wise exercise of discretion, judgment, and creativity to achieve agreed upon ends" (Kelman, 1990) that characterizes effective programs.

4. **New training mechanisms must be developed, and existing training mechanisms must be modified to produce more people who could function as both front-line workers and managers in effective programs.**

As we have seen, front-line workers as well as program managers in successful programs exhibit skills and attitudes that do not seem to be the products of conventional professional training. Obviously their ability to build trusting, collaborative relationships, to work flexibly and to cross disciplinary and professional boundaries, to exercise front-line discretion and to address a complex interplay of problems, as well as the ability of managers to utilize distinctive skills -- all these are not alone the product of training. But the creation of new training capacity would increase the numbers of skilled individuals that could function in organizations that incorporate and create these expectations, and who could comfortably adopt an expanded definition of what it means to act like a professional. The availability of high quality professional training could also help to make work in effective programs attractive to a new pool of talented, eager, and committed individuals.

5. States, communities and local agencies will need competent technical assistance, both in program development and in their efforts to change policies and practices to better reflect the lessons of successful programs.

Organizations that seek to improve outcomes for disadvantaged children need more than information about successful programs to put such programs in place. Many communities may recognize the need for change, but don't know how to get started on making change happen. States that expect to reform their policies and practices to create more supportive settings for effective programs will need highly skilled, knowledgeable, and individualized technical assistance.

6. Continuing efforts are needed to build greater public understanding of a few basic insights that come out of the work of the last decade.

If the following do not become part of the general understanding of a majority of Americans, the needed political support to attack today's most urgent domestic problems is unlikely to materialize:

- The most serious problems of disadvantaged children, youth and families are inextricably bound up with changes in the American society and economy which are far more powerful than the changes that can be made by individuals and families through their own talents and efforts.
- Society's stake in investing in promising solutions is so great that continuing failure to undertake promising or proven programs of intervention and support will be destructive of the national interest.
- The elements of many promising solutions are now reasonably well known, and the widespread implementation of effective interventions requires fundamental systems changes.
- Effective interventions are a cost-effective investment even when they require substantial initial funding.

- There are no quick, cheap fixes. A long-term view is essential, for the impact of effective services or their absence must be seen inter-generationally. The long-term needs of the next generation must not be sacrificed in order to achieve short-term savings in this generation. The results of effective interventions are worth waiting for even though they can rarely be documented during a single budget cycle, or during the term of office of their political champion.

7. **The time is ripe for systematic action to promote systems change.**

Efforts currently under way in many states and communities to improve services to disadvantaged children and their families are severely hampered by the absence of strategic thinking, clear leadership, and relevant information. This need could more nearly be met if one or more organizations (existing or newly created for this purpose) were given the mandate and the resources to perform, in an integrated fashion, the following functions:

A. To be a source of reliable and up-to-date information regarding the attributes of effective programs and the attributes of effective or promising systems change. This would entail the capacity to perform continuing assessments of current efforts in program and policy development and implementation, and to communicate widely findings regarding both effective and ineffective efforts. In an analog to the Manpower Research and Development Corporation, this function could include the capacity to fund and evaluate a coordinated series of demonstrations of neighborhood-wide or community-wide funding and delivery of comprehensive, effective services.

B. To encourage and assist in the development and utilization of well-designed outcome measures; to encourage the widespread use of evaluation approaches that take into account the distinctive attributes of interventions that are most likely to be effective among disadvantaged populations.

C. To encourage and assist in the development of training opportunities and a high quality technical assistance capacity geared to the needs of effective programs and systems.

D. To be a source of leadership in efforts to educate the public on the major issues relevant to bringing about the changes needed to improve services for disadvantaged children and their families.

Conclusion

Policies and programs significantly different from those that prevail are known to improve the odds for children growing up in family and neighborhood environments that do not provide them with the protection, nurturance and social capital they need to succeed in school and in life. Most local programs operate with a funding base, and in a political, bureaucratic, and professional context that makes it nearly impossible to provide the multifaceted responses that could change outcomes for families with multiple, complex needs.

To reach a high proportion of the children at greatest risk with the interventions and supports that will improve their futures requires fundamental transformation of both local programs and the policies that shape them. But the levers of change that have been available until now are not sufficiently connected to one another and are not strong and far-reaching enough to bring about needed changes in the systems within which most programs operate.

Much activity and random experimentation is currently under way in local communities and states all around the nation aimed at improving the circumstances of disadvantaged children, but to little discernible long-range effect. The widespread yearning to do better could, however, be transformed into effective action. The deliberations of this Workshop provide an extraordinary opportunity to identify the strategies that could arm government officials, business leaders, practitioners, program managers, philanthropists and concerned citizens with the tools they need to bring about systematic change on a scale that has a reasonable relationship to the magnitude of the need, and therefore a reasonable chance to succeed.

1. See Bane and Ellwood, 1989; National Center for Children in Poverty, 1990; Danziger and Stern, 1990.

2. Studies of youth employment have found that "improvements in the national economy will not solve the chronic and concentrated unemployment among a subgroup of the youth population ... whatever happens to the economy overall, a significant number of youth (especially poor and minority youth) cannot find or remain in jobs and are likely to experience chronic joblessness as adults." (Hahn and Lerman, 1985)

In its section on "The Truly Disadvantaged," the W.T. Grant Foundation Commission on Work, Family, and Citizenship (1988), concluded that those most likely to suffer from persistent poverty and an "ominous future" were single mothers and chronically non-employed young men. The Commission recommended that identifying and removing the antecedent risk factors was society's "most cost efficient chance of reducing the stacked odds" for these young people, and recommended toward this end, "comprehensive, flexible, and coordinated services beginning early in life including family planning, prenatal health care, pre-parent training, continuing parent counseling and support, nutritional services, child care, early childhood education, and health education."

TABLE 1

Quantitative Effects of Selected Interventions

Intervention	*Outcome*
School-based health clinic St. Paul, Minnesota St. Paul-Ramsey Co. Medical Center 1973 - present	Childbearing among female students in first two participating high schools decreased by more than 50% within three years. (Edwards, et al., 1977, 1980.)
School-related health clinic serving junior and senior high school with all black, low-income student bodies, totalling over 1700 students. Baltimore, Maryland Johns Hopkins University School of Medicine 1982-1984	Among 695 female respondents (of whom about 3/4 were sexually active), the proportion of sexually active 9th - 12th grade girls who became pregnant declined by 25%; rate in comparison school went up 58% in same period. (Zabin, et al., 1986)
Comprehensive prenatal care for 744 school-aged pregnant girls, mostly black and single, all poor. Baltimore, Maryland Johns Hopkins University School of Medicine 1979 - 1981	Low Birth Weight (<2500 gm) rate among participants: 9.9%* among comparison group: 16.4% Very Low Birth Weight (<1500 gm) rate among participants: 1.9% among comparison group: 3.9% (Hardy, 1981)
Comprehensive prenatal care for 7000 low-income women in 13 California counties. California State Department of Health 1979 - 1982	Low Birth Weight (<2500 gm) rate among participants: 4.7%* among comparison group: 7.0% Very Low Birth Weight (<1500 gm) rate among participants: 0.5% among comparison group: 1.3% (Korenbrot, 1984)
Homevisiting to 305 pregnant teenagers by lay "Resource Mothers" in rural South Carolina. South Carolina State Health Department 1981 - 1983	Low Birth Weight (<2500 gm) rate among participants: 10.0%* random controls: 13.0% Very Low Birth Weight (<1500 gm) rate among participants: 1.0% random controls: 4.5% (Unger and Wandersman, 1985)

***The Institute of Medicine of the National Academy of Sciences calculates that $3.50 is saved in medical costs during the first year of life for every dollar spent on reducing the low birth weight rate by two-and-a-half percentage points, an achievement substantially exceeded by all three prenatal care programs described here. (Institute of Medicine, 1985)**

Table 1 (page 2)

Nurse visiting of high-risk mothers during pregnancy and for 2 years after birth (Participants and controls selected by random assignment). Elmira, New York University of Rochester Medical School 1978 - 1983 (Comparisons are with randomly assigned controls)	Among poor, unmarried women Returned or completed school, 10 months after giving birth: participants: 75% controls: 50% Subsequent pregnancies 4 years after first birth: One-half as many among participants as among controls. Abuse or neglect among children: participants: 4% controls: 19% Among 14 - 16 year olds participants had babies weighing an average of one pound more than controls. Among mothers who smoked Premature births: participants: 2% controls: 10% (Olds et al., 1986)
Comprehensive health, child care and social services for 18 infants aged 0 - 2 1/2 and their families. New Haven, Connecticut Yale University Child Study Center 1968 - 1972	At 10-year follow up: Ave. years of education completed by mother: participants: 13.0 comparison: 11.7 Ave. number of children in family: participants: 1.67 comparison: 2.2 Proportion of families self-supporting: participants: 86% comparison: 53% Children with serious school problems: participants: 28% comparison: 69% (Seitz, et al., 1985)
Intensive in-home crisis and family-preservation services. Tacoma and Seattle, Washington Catholic Children's Services and Homebuilders 1974 to present: (evaluation, 1983 - 1985)	In 88% of families in which removal of child was imminent when intervention began, family was intact and child had not been removed one year later. (Kinney, et al., 1977; E.M. Clark Foundation, 1985)

Table 1 (page 3)

Preschool education and enriched classes through third grade for 750 Harlem 4-year-olds; active parent support and participation. New York City

Institute for Developmental Studies
New York University

1963 - 1969

At age 21. twice as many participants as random controls were employed, one-third more had high school diplomas or GED certificates; 30% more had obtained post-high school education or training. (Deutsch. et al., 1983; Lazar. et al., 1982)

Preschool education and weekly home visits over two-year period for 3-and 4-year-old randomly assigned poor black children. Ypsilanti, Michigan

The Perry Preschool Program
High/Scope

1962 - present
(evaluation of 1962 - 1964 participants)

Of 121 responding at age 19:

	Partic.	Control
Employed	59%	32%
H.S. Grad	67%	49%
Post H.S. Ed.	38%	21%
Arrested	31%	51%

Of 112 responding

	Partic.	Control
Years in spec. ed.:	16%	28%

Among 49 females:

	Partic.	Control
T.A. Preg.	32%	59%

(Berrueta-Clement, et al., 1984)

Summer preschool education and weekly home visits during remainder of year, for black 3 - 5-year-olds and their mothers. Murfreesboro, Tennessee

The Early Training Project
Peabody Teachers College

1962 - 1965

At age 21, one-third more dropouts in comparison group than among participants; control children placed in special education classes at six times the rate of participating children.
(Gray, et al., 1983; Lazar, et al., 1982)

Changing elementary school climate through applying principles of child development and basic management; new relationships among principal, teachers, parents. New Haven, Connecticut

Yale University Child Study Center

1968 - present

At outset, intervention schools ranked 32nd and 33rd of 33 New Haven elementary schools in reading, math, attendance and behavior. 15 years later, with no change in SES of students, demonstration schools ranked 3rd and 5th in test scores, had no serious behavior problems. One had best attendance record in city 4 of previous 5 years.
(Comer, 1985, 1988)

Table 1 (page 4)

Intensive intervention with 1000 low birthweight infants in 8 cities, including comprehensive pediatric care, weekly (first year) or biweekly (thereafter) home visits, parent meetings, and care in a special child development center. Robert Wood Johnson Foundation 1985 - 1988	At age 3, participants had IQ scores that averaged 13.2 points higher (heavier babies) and 6.6 points higher (smaller babies) than randomly matched controls; their mothers reported significantly fewer behavior problems than did mothers of the controls. (Infant Health and Development Program, 1990)
Early intervention programs using home visitors with available outcome data in Texas, South Carolina, and Illinois were visited and reviewed by GAO. Review completed in 1990.	Results included improvement in mental and physical development, health, parent-child interaction, and home environment (CEDEN, TX); fewer low birthweight babies and increased use of prenatal care (Resource Mothers, SC); fewer low birthweight babies (Parents Too Soon and Ounce of Prevention, IL). (U.S. GAO, 1990)

APPENDIX I

Adolescent Pregnancy Prevention Clearinghouse
1989 *The Lessons of Multi-Site Initiatives Serving High-Risk Youths*. Washington, D.C.: Children's Defense Fund.

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LEADERSHIP

Up Close and Personal: A Retreat

MBTI
practices
BEHAVIOR
LPI

Strengthening individual and collaborative leadership skills.

BEST COPY AVAILABLE

GOAL

To strengthen individual and collaborative leadership skills.

Team members, in a retreat setting, examine the characteristics, behaviors, and practices of effective collaborative leadership and assess their own leadership styles through group discussions, a video, instruments, and exercises.

TODAY'S OBJECTIVES

- ☐ To identify the core characteristics of highly effective leaders.
- ☐ To enhance skills and confidence in using effective leadership behaviors and practices.
- ☐ To identify individual behavior and style preferences.
- ☐ To give peer feedback on behavior in a variety of collaborative problem solving situations.
- ☐ To offer participants the knowledge and skills for setting personal developmental goals.
- ☐ To have fun!

OVERVIEW OF CRITICAL EVENTS

Day 1:

☐ An opening discussion is held about leadership premises and collaborative vs, organizational leadership.

☐ SHSCC Personnel Selection Committee exercise: This engages team members in a role play showing the impact of leadership styles on task achievement. This exercise is videotaped for a later discussion.

☐ Myers-Briggs Type Indicator (MBTI) aids team members in understanding their individual preferences. The team then observes type in action by viewing the "SHSCC Personnel Selection" video.

☐ An outdoor challenge exercise test participants' leadership behaviors and practices in team settings.

☐ To practice collaborative skills, team members complete the "Hollow Squares" exercise.

☐ After rating themselves on how they interact with others (FIRO-B), participants meet in small groups to discuss their results.

☐ In small groups, participants discuss appropriate leadership practices for 5 situations.

Day 2:

☐ In a three-part exercise, team members define leadership and examine various theories, derive a group consensus on superior leadership characteristics, and examine the three core characteristics.

☐ The video, *The Leadership Challenge*, enables team members to examine leadership behaviors and correlate them with collaborative initiatives.

☐ The "Leadership Practices Inventory" provides team members with feedback about their own perceived leadership behaviors and with perceptions from their peers.

☐ After reviewing the basics of feedback, team members discuss key questions about their leadership behaviors, practices, styles, and characteristics.

☐ Participants review "Learning to Lead" concepts prior to writing their personal development plan.

AGENDA--DAY 1

8:30 - 9:45 am	Welcome and Introductions
	Leadership Premises
9:45 - 10:30 am	SHSCC Personnel Selection Committee Exercise
10:30 - 11:00 am	Break
11:00 - 12:30 pm	Myers-Briggs Type Indicator Feedback
	Videotape Debriefing
12:30 - 1:30 pm	Lunch
1:30 - 2:45 pm	Collaborative Group Exercise (With Floating Break): Hollow Squares
2:45 - 3:45 pm	FIRO-B Feedback
3:45 - 4:45 pm	Blind Squares Exercise
4:45 - 5:15 pm	Recap of Lessons Learned
5:15 - 6:00 pm	Free Time
6:00 - 7:30 pm	Reception and Dinner
7:30 - 9:30 pm	The Leadership Quest: In Search of A Collaborative Structure (Informal discussion)

AGENDA--DAY 2

8:00 - 9:30 am	Best Leader/Worst Leader Exercise Leadership Concepts Core Characteristics of Leadership Leadership Challenge Video
9:30 - 9:45 am	Break
9:45 - 11:15 am	Leadership Practices Inventory
11:15 - 12:15 pm	River Crossing Exercise
12:20 - 1:30 pm	Lunch
1:30 - 2:15 pm	Individual Reflection (With Floating Break)
2:15 - 3:30 pm	Personal Feedback
3:30 - 4:30 pm	Personal Commitment Session
4:30 pm	Adjournment

RESOURCES

Required Reading:

- ☐ Campbell, David P. "Inklings," Issues & Observations. Center for Creative Leadership, Vol.14, No.2, 1994, pp. 9 - 10.
- ☐ Gardner, John W. On Leadership. New York: The Free Press, 1990.
- ☐ Hanson, P.G. "Giving Feedback: An Interpersonal Skill," The 1975 Annual Handbook for Group Facilitators. San Diego, CA: University Associates, 1975.
- ☐ Lee, Chris. "Can Leadership Be Taught?," Training. July 1989, pp.19-26.
- ☐ Lee, Chris. "Followship, The Essence of Leadership," Training. January 1991, pp. 27 - 35.
- ☐ Kouzes, James M. and Barry Z. Posner. The Leadership Challenge: How to Get Extraordinary Things Done in Organizations. San Francisco: Jossey-Bass Publishers, 1987. [Read Chapters 1 and 2.]

More Good Reading:

- ☐ Bennis, Warren. Why Leaders Can't Lead. San Francisco: Jossey-Bass Publishers, 1990.
- ☐ Clark, Kenneth E. and Miriam B. Clark. Choosing To Lead. Charlotte, NC: Leadership Press Ltd., 1994.
- ☐ Conger, Jay A. Learning To Lead: The Art of Transforming Managers into Leaders. San Francisco: Jossey-Bass Publishers, 1992.
- ☐ Covey, Stephen R. The 7 Habits of Highly Effective People. New York: Simon & Schuster, 1989.

HOMEWORK

- ○ Complete the three leadership assessment instruments: FIRO-B, Myers-Briggs Type Indicator and the Leadership Practices Inventory. Find time when you can sit quietly, free from interruptions. Each set of questions takes about 15-20 minutes to complete.
- ○ Complete Required Reading.

FACILITATOR'S NOTES

This unit requires a facilitator skilled in reporting Myers-Briggs Type Indicator, FIRO-B and the Leadership Practices Inventory. IEL can suggest individuals if someone is not available locally.

The leadership assessment instruments need to be returned to the facilitator for scoring 2 weeks prior to the session. Get the materials to the participants to ensure a timely return. See Attachment 6.1 for sample instructions.

This unit is designed as a two-day retreat. We encourage you to take the time off site. Other sites have found the concentrated time to be personally energizing and insightful and helps build group cohesiveness. As with all units, sections can be mixed and matched to suit site needs.

Agenda:

The sample agenda is provided for your reference and is the agenda followed by the Virginia CLP. It is a full two days. You need the time to be intensive and packed with information to facilitate personal growth. Time does need to be provided for reflection and fun. We have attempted to include both, but you may want to reorder the agenda given your participants' needs.

Site:

The retreat site should offer a relaxed atmosphere conducive to conversation, reflection, and shared good times. One large meeting room with tables, then 2 - 3 breakout rooms (depending on group size), also with tables, will be needed. The 2 outdoor exercises require a large, level grassy area. Asphalt parking lots are okay, but not preferable.

Equipment:

You will need an overhead and VCR tape player and monitor in the large meeting room. Video recorders and monitors will be needed in each of the breakout rooms.

Materials:

All participants need their own notebook for individual score reports, handouts, and resource materials. Handouts should be reproduced on three-hole punch paper.

For the 2 outdoor exercises, you will need two 50' lengths of rope and blindfolds for each participant.

CRITICAL EVENTS

DAY ONE

Leadership Premises:

Objective:

- To identify the core characteristics of highly effective leaders.

Activities:

- ❖ Team members introduce themselves by sharing 1 leadership skill they possess.
- ❖ Team members compare and discuss **Leadership Premises** (Attachment 6.2) for Collaborative Leadership and Organizational Leadership.

Leading Collaborative Groups - Part 1

Objectives:

- To identify individual behavior and style preferences.
- Explore how preferences influence their role in a group.
- To give peer feedback on behavior in a variety of collaborative problem solving situations.

Activities:

SHSCC Personnel Selection Committee Exercise

- ❖ Divide team members into groups of six. Pass out the instructions, a data sheet for each member, and the Candidate Summary Sheet (Attachment 6.3). Tell them you will call time in 40 minutes and have them begin with no further instructions.

This exercise is video-taped. Have the team seated around a table where all can be seen by the camera. Ask any remaining team members not assigned to groups of 6 to be observers of the exercise noting how the group organized the task.

- After 40 minutes, hand out the solution sheet. The small groups may want to discuss their process, but they will have ample opportunity during the videotape debriefing.

Myers-Briggs Type Indicator Feedback

- Team members receive their MBTI results followed by a review of MBTI concepts. (Plan approximately 45 minutes.)

Videotape Debriefing

- Team members return to their small groups to debrief the SHSCC Personnel Selection Exercise videotape through the lens of MBTI preferences.

Suggested questions:

-- Was your behavior during the exercise consistent with your reported Type?
-- What did you observe about other team members behavior during the group process? Was it consistent with their reported Type?
-- How did the team's differing preferences facilitate the group's completion of the exercise?

If they need more time, encourage the small groups to continue the debriefing during lunch.

Lunch

Leading Collaborative Groups - Part 2

Objectives:

- To enhance skills and confidence in using effective leadership behaviors and practices.
- To apply group problem-solving techniques that build on the styles and preferences of all participants.
- To have fun!

Activities:

Collaborative Group Exercise: Hollow Squares*

❖ You may wish to make your own "squares" or inquire if the day's facilitator has a set.

Plan for approximately 45 minutes to complete the exercise. Most groups are able to complete it in less time. Use the remaining time, with a floating break, to process the learning. Have the observers report first, then ask team members to report on their reactions and insights.

*From Pfeiffer, J.W. & Jones, J.E. (Eds.) A Handbook of Structured Experiences. Vol.II (Revised). La Jolla, CA: University Associates Publishers, Inc., 1974. (800-274-4434 or local college library.)

FIRO-B Feedback

❖ Team members receive their FIRO-B results and discuss the implications for their CLP group and their work.

Blind Square Exercise

Preparation: (See Attachment 6.4 for directions.)

-- Divide team members into 2 groups.
-- Tie ends of 50' length of rope together to form a large loop and arrange in large circle on a grassy, level area.
-- Tell team members to position themselves around the rope lying on the ground.
-- Hand out the blindfolds.

- Tell team members to put on their blindfolds, then reach down and pick up the rope, without changing their positions.
- You, then, read the instructions.
- After 20 minutes or if they have created a square (or close approximation), call time.

If it is a pleasant day, have the groups remain outside to discuss the following questions:

- What did you learn about yourself from this exercise?
- What behaviors/characteristics did you observe (hear, since you couldn't see) in your team members? (E.g.,fear, trust, hesitation, daring, risk taking, support, leadership.) How did you discern these behaviors?
- What did you learn about collaborative planning and problem solving from this exercise?

Recap of Lessons Learned

Activity:

- Ask team members to reflect and complete the **Daily Diary handout** (Attachment 6.5).

Ask them to share their "Diary" thoughts and/or respond to the following questions:

- What did you learn about yourself today?
- What did you learn about collaborative leadership today?

Free Time and Dinner

Leadership Quest

The time after dinner should be left open for relaxed conversation and reflection. A suggestion: have **The Leadership Quest Exercise** (Attachment 6.6) set up in several places around the room. Team members can play with it if they choose.

DAY TWO

LEADING IN ORGANIZATIONS - PART 1

Best Leader/Worst Leader Exercise:

Objective:

- To identify the core characteristics of highly effective leaders.

Activities:

- Refer to page 17 of The Leadership Challenge. Reproduce the chart twice for handouts. First, list only the characteristics and a space for team members to rank order the characteristics. The second chart provides the survey results indicating rankings and percentages.

- Facilitator asks the group for their top 4 Characteristics of Superior Leaders from the homework assignment. These are listed on newsprint then compared to the handout "Survey Results." Discuss the similarities and differences between team members rankings and those from the national survey.

  Ask the team for their reaction to David Campbell's article, "Inklings." How does this correlate to the Kouzes and Posner results?

- The "Characteristics of Superior Leaders" exercise can be done as a consensus exercise.*

Core Characteristics of Leadership

- Review of the **Core Characteristics of Leadership** based on the Kouzes and Posner book, The Leadership Challenge.

  This is a brief introduction to the Leadership Practices Inventory. The video gives a good overview, but it is helpful to first introduce the basic tenets or Core Characteristics* as defined by Kouzes and Posner.

*Pat Poplin, Facilitator for Virginia CLP, has developed the above-mentioned exercise and a series of handouts and overheads to accompany the video. You can contact her at 804-747-5259 for copies.

- View the *Leadership Challenge* Video. Attachment 6.7 can be used by team members to record their reactions.

Leadership Practices Inventory

Objective:

- To offer participants the knowledge and skills for setting personal developmental goals.

Activities:

- Team members receive their individual scores and discuss the interpretations.

River Crossing Exercise

Objectives:

- To enhance skills and confidence in using effective leadership behaviors and practices.
- To have fun!

Activity:

- See Attachment 6.8 for directions and guidelines.

  Preparations:

  -- On level, grassy area, spread two 50' lengths of rope parallel to each other (approximately 25 - 30 feet apart).
  -- Each team member is given a file folder as a stepping stone.
  -- Gather team members on one side of the rope and read the instructions and guidelines.
  -- Monitor them closely and call them back the first time someone steps off the stone. If they continue to be sloppy, warn them, or call them back one more time. But, as the exercise continues, be more lenient to allow success.

Once again, if weather permits, stay outside to discuss the following questions:

-- Think about the process you used to complete this exercise. What steps did you go through to plan and execute the river crossing?
-- What roles did individual team members play in the planning and actual completion?
-- What did you learn from this exercise about leadership?
-- If you could do this exercise again, what would you do differently?

Lunch

LEADING IN ORGANIZATIONS - Part 2

Objectives:

- To give peer feedback on behavior in a variety of collaborative settings.
- To initiate a personal skills development plan.

Activities:

- Individual Reflection: Team members work alone to complete the worksheets in the LPI workbook.
- Personal Feedback: Separate team members into the same groups from the SHSCC Personnel Selection Committee. Facilitate individual feedback about leadership behaviors and practices they have exhibited in the CLP group.
- Personal Commitment Session: Team members share with their CLP colleagues the action steps to which they committed in the LPI workbook (p.27).

FEEDBACK FORM

IEL needs your feedback on the Facilitator's Guide to keep us on the cutting edge of training collaborative leaders. Please take a few minutes to reflect on this unit, the team members' reactions, and your suggestions for any changes. Thank you for answering the questions below and returning the form with your day's agenda and list of resources used. **Please fax them to Wendy Russell at 202-872-4050.** THANK YOU!

1. Which activities were most effective? Why?

2. What would you do differently, if you repeated this unit? Why?

3. Which resources did team members find useful, relevant?
Did you supply additional ones? If so, what?

4. What were the team's key learnings?

5. What were your key learnings?

6. Other comments or suggestions?

FACILITATOR'S GUIDE TO RESOURCES

The following articles and book can be found in a good library or requested from the publisher:

☐ Campbell, David P. "Inklings," Issues & Observations. Center for Creative Leadership, Vol.14, No.2, 1994, pp. 9 - 10. (910-288-7210)

☐ Hanson, P.G. "Giving Feedback: An Interpersonal Skill," The 1975 Annual Handbook for Group Facilitators. San Diego, CA: University Associates, 1975. (800-274-4434)

☐ Lee, Chris. "Can Leadership Be Taught?" Training. July 1989, pp.19-26.

☐ Lee, Chris. "Followship, The Essence of Leadership," Training. January 1991, pp. 27 - 35. (612-333-0471)

☐ Kouzes, James M. and Barry Z. Posner. The Leadership Challenge: How to Get Extraordinary Things Done in Organizations. San Francisco: Jossey-Bass Publishers, 1987. (415-433-1740)

The *Leadership Challenge* video is available for a 2 week preview for $34.95 (Code PO6C24) Call 800-274-4434.

The three leadership assessment instruments can be ordered by the facilitator. The prices are listed below for budget planning.

☐ Leadership Practices Inventory: Self-Assessment and Analysis Workbook $8.95 (1-25 Copies)

☐ LPI: Other Assessment - $3.75 each (51 - 100 copies). Each participant needs 4 copies.

☐ FIRO-B (1 pkg. of 25: $17.00)
Client's Guide to FIRO-B (25 or more copies: $5.50 each)

☐ MBTI Introduction to Type in Organizations (25 or more: $4.00 each)

ATTACHMENTS:

6.1 Sample instruction package for Leadership Assessment Instruments (pp.1-4)

6.2 Leadership Premises Handout

6.3 SHSCC Personnel Selection Exercise Handout (pp.1-11)

6.4 Blind Square Exercise

6.5 Daily Dairy Handout

6.6 Leadership Quest Exercise

6.7 Leadership Challenge Video handout

6.8 River Crossing Exercise

Attachment 6.1
p. 1 of 4

The DeWitt Wallace-Reader's Digest
Collaborative Leaders Program of Virginia

September 10, 1992

Ms. Wendy Russell
Program Manager
Institute for Educational Leadership
1001 Connecticut Avenue, N. W.
Washington, D. C. 20036

Dear Wendy:

We are delighted that you plan to attend the CLP Leadership Retreat on September 30-October 1, 1992 at Mountain Lake. In preparation for your participation in the training activities you are being asked to complete, and to have others complete, a packet of assessment instruments. These instruments will be scored and profiled prior to the time the program convenes on September 30. Your packet of instruments should include the following:

(1) The Leadership Practices Inventory (LPI – 1 Self Form and 4 Forms for Others to Complete)

(2) Fundamental Interpersonal Relations Orientation

(3) Myers Briggs Type Indicator

It will take you approximately 1 hour and 30 minutes to respond to the questions on the three (3) instruments. Please provide all of the demographic information requested on each of the instrument answer sheets. You will note that FIRO-B is a self-scorable version. Please do not score it yourself but return all assessment materials "intact" to me for scoring and profiling by September 25, 1992. A self-addressed envelope is included in the packet for your convenience.

During the program you will receive the results of your self-perceptions, and those of others, relative to your leadership effectiveness. Instrumented feedback results will be referred to throughout the session and will assist you in personalizing and relating the program content to "your back-home" work situation. Please be assured that the results of this battery of instruments will remain totally confidential and you will be the sole recipient of your scores.

Your packet of assessment instruments also includes four (4) copies of the Leadership Practices Inventory - Other, along with envelopes which are used to ensure confidentiality. A step-by-step checklist is also included to make the distribution of the rating forms and the collection of the survey information easier to manage.

Coordinators:
Ron Collier, Sharyl Adams, Virginia Council on Coordinating Prevention, P.O. Box 1797, Richmond, VA 23214 (804) 786-1530
Pat Poplin, Creative Leadership Systems, Inc., P.O. Box 31556, Richmond, VA 23294, (804) 747-5259

In order for you to receive your feedback during the program, it is essential for you to have all forms completed and sent to:

Creative Leadership Systems, Inc.
4202-B Park Place Court
Glen Allen, VA 23060
Attention: CLP Leadership Retreat

To arrive no later than September 24, 1992.

If you have questions about the instructions for completing any of the instruments, please call me at (804) 747-5259.

Sincerely,

Pat

Patricia D. Poplin
CLP Coordinator

Enclosures

CHECKLIST FOR REQUESTING COMPLETION OF PRE-TRAINING INSTRUMENTS

CLP Leadership Retreat

1. Write your name on all assessment instruments including the Leadership Practices Inventory - Other forms.

2. Determine the names of four co-workers from whom you would like to receive feedback on your leadership effectiveness.

   Important Note: We urge you to gather information from people you consider to be part of your work group and with whom you interact on a fairly regular basis. A major focus of the program is on how you currently perceive, and are perceived by, these co-workers, so choosing four of your direct reports would be ideal. If you do not have four direct reports, consider a mix of subordinates, peers, superiors or colleagues who make up your work group.

3. Make a list of the four individuals' names.

4. Identify a contact person in your department or area who is seen as trustworthy by your co-workers and capable of handling confidential information. Give the contact person the names of the people you have selected. Ask the contact person to collect the completed forms and to forward them for processing prior to the deadline.

5. Write the name of the contact person on each of the return envelopes attached to the LPI-Other forms.

5. Develop a memo to include with the packet of instruments to the four co-workers. You may use the sample memo (included with these pre-work materials) as it is, or modify it for your own situation if you so choose.

6. Distribute the co-worker rating packets and memo to each of the selected individuals or have the contact person distribute these for you. Request that these co-workers complete the ratings individually and return the forms to the contact person.

   On or before September 22, 1992.

7. Complete your packet of assessment instruments and give these to the contact person in a sealed envelope marked with your name.

8. Monitor the return of the forms to the contact person. When all co-worker forms have been returned, include your own assessment materials and instruct your contact person to send the forms (via overnight delivery, if necessary) to:

   Creative Leadership Systems, Inc.
   4202-B Park Place Court
   Glen Allen, VA 23060
   Attention: CLP Retreat

   To be received no later than September 24, 1992.

MEMORANDUM

TO:

FR:

DATE:

SUBJECT: Feedback on my leadership effectiveness

I am scheduled to attend a Leadership Retreat as a part of my participation in the Virginia Collaborative Leaders Program. The retreat activities will provide me with an opportunity to examine principles of leadership and teamwork and to learn ways to be more effective on the job. Personal feedback is an integral part of the learning process and I would greatly appreciate your help in providing feedback for me.

I am asking that you make a set of candid and anonymous responses on the enclosed assessment form. In order to collect a range of views, I am soliciting this same information from a number of people. All ratings will be combined to make up the overall feedback I will receive. In this way, your individual ratings will be strictly confidential.

You will need to spend about 20 minutes completing the inventory form on your perceptions of my leadership practices. The specific instructions for completing the inventory form are enclosed.

Let me assure you that you individual responses will be aggregated with those of other raters, and the feedback I receive will not indicate who responded in which fashion. Your responses will be totally anonymous, and will be sent directly to the course instructors for processing. I will receive a report which will help me learn which of my behaviors are perceived as effective and where I might improve my personal performance.

I would be grateful for your input and have informed the person noted below of you potential participation. You may return your completed answer sheets to this person in a sealed envelope. Your ratings will then be sent to the course instructors for processing. In order to have the results returned to me during the retreat program, you will need to complete the form and return it no later than the deadline indicated below.

I will be happy to answer any questions you may have. Thank you for your help.

Please return these forms to: ______________________________

No later than: ______________________________

Attachment 6.2

LEADERSHIP PREMISES

Notes:

Collaborative Leadership & Organizational Leadership

Collaborative Leadership	Organizational Leadership
Trust	Position bounded trust
Helpfully meddlesome	Helpful when asked
Challenge each other	Territorial respect
Synergistic results	Summative results
Hierarchy (Shifting)	Hierarchy (Fixed)
Group and individual accountability	Individual accountability
Consensus decision-making	Hierarchial decision-making
Conflicts resolved by people in conflict or referred to group	Conflicts resolved by hierarchy
Commitment contracts social and psychological contracts	Commitment, legal, social and psychological contracts

Attachment 6.3
p. 1 of 11

SHSCC
Personnel
Selection
Committee

PERSONNEL SELECTION COMMITTEE BRIEFING SHEET

Instructions:

1. You are a committee of State Agency Heads charged with selecting an Executive Director for the State Human Services Collaborative Council (SHSCC).

2. You are meeting to select a candidate from a list who, upon your committee recommendation, will be employed as The Executive Director of the SHSCC.

3. The data you bring with you, "the SCHCC Personnel Selection Committee Data Sheet," is in your head. *You may not exchange data sheets.*

4. There is one correct solution.

5. All data are correct.

6. You have approximately ~~2~~45 minutes to choose the candidate.

7. Assume that today's date is September 30, 1992.

8. There must be substantial agreement when the problem has been solved.

9. You must solve the problem by reaching consensus.

10. You may organize your work in any way you wish.

11. You are free to use any material resources in the room.

SHSCC PERSONNEL SELECTION COMMITTEE DATA SHEET

The State Human Services Collaborative Council (SHSCC) has recently been established by the legislature upon recommendation of the Governor. The creation of the SHSCC was motivated by a long standing need for collaboration among the various state agencies providing human services to the state's citizens.

Agencies/represented on the council are the: Department of Health, Department of Social Services, Department of Education, Department for Economic Development, Department of Mental Health, Department of Corrections, the State Employment Commission, Citizens for Good Government. Ex Officio members of the Council are representatives from the Office of the Governor, the Speaker of the House and the Majority Leader of the Senate.

SHSCC has a mandate to facilitate collaboration among the various human service agencies. Such collaboration should provide more effective client services while reducing costs of such services through a reduction in service duplication, inter-agency rivalries, and bureaucratic turfdom.

SHSCC is seeking an Executive Director who will be responsible for managing its executive offices, but more importantly, who can give collaborative leadership to the Council and its constituent members.

The council requires that its Executive Director have a Master's degree in Public Administration and eight or more years experience as a public administrator at the state level.

A number of schools offer degrees in Public Administration. The larger schools require four and the smaller schools require three of the following subjects for graduation: Personnel Administration, Leadership Internship, Public Policy, Public Finance, Collaborative Leadership in Public Administration.

SHSCC PERSONNEL SELECTION COMMITTEE DATA SHEET

The State Human Services Collaborative Council (SHSCC) has recently been established by the legislature upon recommendation of the Governor. The creation of the SHSCC was motivated by a long standing need for collaboration among the various state agencies providing human services to the state's citizens..

Agencies/represented on the council are the: Department of Health, Department of Social Services, Department of Education, Department for Economic Development, Department of Mental Health, Department of Corrections, the State Employment Commission, Citizens for Good Government. Ex Officio members of the Council are representatives from the Office of the Governor, the Speaker of the House and the Majority Leader of the Senate.

SHSCC has a mandate to facilitate collaboration among the various human service agencies. Such collaboration should provide more effective client services while reducing costs of such services through a reduction in service duplication, inter-agency rivalries, and bureaucratic turfdom.

SHSCC is seeking an Executive Director who will be responsible for managing its executive offices, but more importantly, who can give collaborative leadership to the Council and its constituent members.

The Council has required that its Director hold a Master's Degree in Public Administration and have completed in Internship in Leadership as part of his/her graduate program.

A number of schools offer degrees in Public Administration. Missouri Institute, which is not the smallest school requires the following courses for graduation: Personnel Administration, Leadership Internship and Public Finance.

SHSCC PERSONNEL SELECTION COMMITTEE DATA SHEET

The State Human Services Collaborative Council (SHSCC) has recently been established by the legislature upon recommendation of the Governor. The creation of the SHSCC was motivated by a long standing need for collaboration among the various state agencies providing human services to the state's citizens...

Agencies/represented on the council are the: Department of Health, Department of Social Services, Department of Education, Department for Economic Development, Department of Mental Health, Department of Corrections, the State Employment Commission, Citizens for Good Government. Ex Officio members of the Council are representatives from the Office of the Governor, the Speaker of the House and the Majority Leader of the Senate.

SHSCC has a mandate to facilitate collaboration among the various human service agencies. Such collaboration should provide more effective client services while reducing costs of such services through a reduction in service duplication, inter-agency rivalries, and bureaucratic turfdom.

SHSCC is seeking an Executive Director who will be responsible for managing its executive offices, but more importantly, who can give collaborative leadership to the Council and its constituent members.

The Council requires that it's Director hold a Master's degree in Public Administration and be a Fellow in the Institute for Collaborative Leadership.

Of the schools which offer degrees in Public Administration, St. Matthew's University is the oldest having been founded in 1846. It requires among other courses the following for graduation: Public Finance, Collaborative Processes in Public Administration and a Leadership Internship.

SHSCC PERSONNEL SELECTION COMMITTEE DATA SHEET

The State Human Services Collaborative Council (SHSCC) has recently been established by the legislature upon recommendation of the Governor. The creation of the SHSCC was motivated by a long standing need for collaboration among the various state agencies providing human services to the state's citizens....

Agencies/represented on the council are the: Department of Health, Department of Social Services, Department of Education, Department for Economic Development, Department of Mental Health, Department of Corrections, the State Employment Commission, Citizens for Good Government. Ex Officio members of the Council are representatives from the Office of the Governor, the Speaker of the House and the Majority Leader of the Senate.

SHSCC has a mandate to facilitate collaboration among the various human service agencies. Such collaboration should provide more effective client services while reducing costs of such services through a reduction in service duplication, inter-agency rivalries, and bureaucratic turfdom.

SHSCC is seeking an Executive Director who will be responsible for managing its executive offices, but more importantly, who can give collaborative leadership to the Council and its constituent members.

The Council requires that it's Director hold a Master's Degree in Public Administration and have eight or more years experience as an administrator in an agency in one of the fifty states.

The New York School of Public Administration requires among other courses the following for graduation: Leadership Internship, Public Finance, Collaborative Processes in Public Administration and Personnel Administration. Membership in the Institute for Collaborative Leadership is available to persons holding a Master's degree in Public Administration from an accredited school.

SHSCC PERSONNEL SELECTION COMMITTEE DATA SHEET

The State Human Services Collaborative Council (SHSCC) has recently been established by the legislature upon recommendation of the Governor. The creation of the SHSCC was motivated by a long standing need for collaboration among the various state agencies providing human services to the state's citizens.....

Agencies/represented on the council are the: Department of Health, Department of Social Services, Department of Education, Department for Economic Development, Department of Mental Health, Department of Corrections, the State Employment Commission, Citizens for Good Government. Ex Officio members of the Council are representatives from the Office of the Governor, the Speaker of the House and the Majority Leader of the Senate.

SHSCC has a mandate to facilitate collaboration among the various human service agencies. Such collaboration should provide more effective client services while reducing costs of such services through a reduction in service duplication, inter-agency rivalries, and bureaucratic turfdom.

SHSCC is seeking an Executive Director who will be responsible for managing its executive offices, but more importantly, who can give collaborative leadership to the Council and its constituent members.

The Council requires that it's Director hold a Master's Degree in Public Administration and be a member of the Institute for Collaborative Leadership whose members must be experienced public administrators.

A number of schools offer the Master's Degree in Public Administration. The North Carolina Institute requires for graduation the following courses: Leadership Internship, Public Policy, Collaborative Processes in Public Administration and Personnel Administration. The smallest school is not accredited.

SHSCC PERSONNEL SELECTION COMMITTEE DATA SHEET

The State Human Services Collaborative Council (SHSCC) has recently been established by the legislature upon recommendation of the Governor. The creation of the SHSCC was motivated by a long standing need for collaboration among the various state agencies providing human services to the state's citizens......

Agencies/represented on the council are the: Department of Health, Department of Social Services, Department of Education, Department for Economic Development, Department of Mental Health, Department of Corrections, the State Employment Commission, Citizens for Good Government. Ex Officio members of the Council are representatives from the Office of the Governor, the Speaker of the House and the Majority Leader of the Senate.

SHSCC has a mandate to facilitate collaboration among the various human service agencies. Such collaboration should provide more effective client services while reducing costs of such services through a reduction in service duplication, inter-agency rivalries, and bureaucratic turfdom.

SHSCC is seeking an Executive Director who will be responsible for managing its executive offices, but more importantly, who can give collaborative leadership to the Council and its constituent members.

The Council requires that it's Director hold a Master's Degree in Public Administration and be an experienced Public Administrator with no less than eight years experience in a public agency.

To be a fellow in the Institute for Collaborative Leadership one must be a U.S. citizen who has had at least one graduate course in Collaborative Processes in Public Administration.

SHSCC CANDIDATE SUMMARY SHEET

Name: J.H. Whitman
Passport: U.S. 175432B
Experience: June '72-July '82 - Social Worker, Hereford County, NC
Aug. '82-Sept. '91 - Assistant Director, North Carolina Department of Human Services.
Current Position: Director of Personnel, Braxton Mills, Inc., Braxton, NC
Degrees: B.S., M.P.A., North Carolina Institute

Name: B.T. Perlman
Passport: U.S. 194254 A
Experience: Sept. '70-June '73 - H.S. Teacher, Grassland City Schools
Sept. '73-June '79 - H.S. Principal, Grassland City Schools
July '79-Nov. '84 - Assistant Superintendent, Morgan City Schools.
Nov. '84 to present - Assistant Superintendent, State Department of Public Instruction.
Current Position: Assistant Superintendent, State Department of Public Instruction
Degrees: B.S., M.P.A., Ed.D., New York School of Public Administration.

Name: J.M. Alvarez
Passport: U.S. 1743259 B
Experience June '68-July '72 - Public Health Nurse, Bruton Parrish, LA
Aug '72-July '81 - Director Mental Health Services, Golden, SC
July '81-Present - Associate Director, South Carolina Mental Health Services.
Current Position: Associate Director, Mental Health Services-State of SC
Degrees: B.S., M.S. University of S.C., M.P.A., Missouri Institute.

Name: A. Chow-Han
Passport: U.S. 2743561B
Experience: June '66-Aug '73 - Rehabilitation Counselor-Wycomico County, Maryland.
Sept. '73-Aug '83 - Director, Rehabilitation Services, Wycomico County, Maryland.
Current Position: Sept. '83-Present - Associate Director, Maryland Rehabilitation Services, Baltimore, MD.
Degrees: B.S., M.S., University of Nevada, M.P.A. St. Matthew's University.

Name: J.P. Morgan
Passport: U.K. 0136421L
Experience: June '65-Sept.'72 - Parole officer, Sussex County, VA
June '73-July '82 - Senior Officer in Charge, Division of Parole, Macon County, GA
Current Position: Aug '82 to present- Assistant Director, Division of Parole, State of Nevada.
Degrees: B.S., M.S. University of Louisville, M.P.A. New York School of Public Administration.

Name: L.L. Merrita
Passport: U.S. 3742160A
Experience: June '64-Aug. '69 - Assistant Director Public Health Services, Dane County, Wisconsin.
Sept. '69-Jan. '76 - Director Public Health Services, Dane County, Wisconsin.
Feb. '76-March '87 - Deputy Director Public Health Services, Puerto Rico.
Current Position: April '87 to present - Deputy Director, Public Health Services for the State of South Carolina.
Degrees: B.S. M.P.H., Walden University- M.P.A. New York School of Public Administration.

SCHCC PERSONNEL SELECTION COMMITTEE SOLUTION SHEET

Name of Candidate	8 Yrs. State Agency Administrative Experience in one of 50 States	Completed Leadership Internship	Graduate of Accredited University	Completion of Course in Collaborative Processes in Public Administration	U.S. Citizen
Whiteman	Yes	Yes	Yes	Yes	Yes
Perlman	No - 7 Yrs. 9 Mos. of State Experience	Yes	Yes	Yes	Yes
Alvarez	Yes	Yes	Yes	No - University of Missouri doesn't require course. Can't be member of Institute.	Yes
Chow-Han	Yes	Yes	No - St. Mathews not accredited.	Yes	Yes
Morgan	Yes	Yes	Yes	Yes	Citizen of the U.K.
Merrita	No - Experience in Puerto Rico	Yes	Yes	Yes	Yes

BLIND SQUARE

Your Task:

- With everyone holding onto the rope, and using the entire rope circle, make a perfect square....while blindfolded!

Directions and Guidelines:

- The ropes **must remain** in your hands at all times.
- You may only use yourself and your friends as reference points.
- You have 20 minutes to complete this task.
- Everyone, including the leader, is to be blindfolded from this point on!

DAILY DIARY

Some questions raised by the exercises, discussions, and activities I've participated in today:

Based on what I've learned today:

I will do more of....

I will do less of....

I will do differently....

I expect the following "good things" to occur.

Attachment 6.6

THE LEADERSHIP QUEST
Where's the Leader?

INSTRUCTIONS:

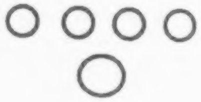
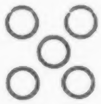
Six situations are described below. Your group must decide where the leader would position himself/herself in relation to the group in each instance. You have been provided with an envelope containing 15 coins (5 nickels, 5 dimes and 5 quarters). These coins are to be used to represent the leader and his four team members.

Configure the coins, selecting the size coins you feel are required by the situation and arrange them to represent where you feel the leader should be in each situation. When you have decided on a configuration for the leader and the group in each situation, draw it on the paper provided.

Select a spokesperson who will present your group's rationale for each situation.

EXAMPLE:

When productivity has dropped significantly.

Configuration	Rationale
	The leader is supporting the group by encouraging improved performance and providing additional resources.
OR	
	The leader is a member of the group and is attempting to draw them together and increase their commitment.

THE SITUATIONS

Situation 1: When group disagrees with what you want done.

Situation 2: When directive has come from your boss that requires a major change in the group's work.

Situation 3: When a significant decision must be made about reassigning group member tasks.

Situation 4: When resources your group has requested will not be made available.

Situation 5: When the group disagrees about how a decision is to be implemented.

THE LEADERSHIP CHALLENGE

Think about the managers you've known and worked with. Consider the characteristics that they had in common with the leaders "spotlighted" in *The Leadership Challenge* video. Reflect on your personal beliefs about leadership and how you behave as a manager and a leader. As you view the video, you may find it helpful to jot down your reactions to the ideas presented in *The Leadership Challenge*.

"Organizations cannot function effectively without good leaders. Today, capable leadership is needed more than ever to guide us through the challenge of constant change. Our success, even our quality of life, depends on the quality of our leaders."

Warren Bennis, The Leader Within, 1989

RIVER CROSSING

You, a unique set of individuals, are the management core of a prestigious organization. You are now confronted with a final challenge, the successful completion of which will determine the very existence of your organization.

Your Task:

- All the members of your team, as well as all the members of any other teams **on your side** of the river must reach the opposite bank **at the same time.** You may **not** interfere in any way with the efforts of the teams crossing from the opposite bank, except in creating strategies that will allow your team to simultaneously reach the opposite bank before their team does.

Directions and Guidelines:

- Each of you will receive one "stepping stone".
- You may step on another team member's stone momentarily while in motion or in passing, but you only rest on your own stone.
- You **may not hand** your stone to anyone else.
- Should anyone fall off their stone into the river, **even momentarily,** the whole team (including members of the other subgroup(s) heading in the same direction as your subgroup) must begin again.
- You have a maximum of 20 minutes to complete your task.

MANAGING CONFLICT

Learning skills to better manage conflict
through negotiation and mediation.

BEST COPY AVAILABLE

GOAL

To explore the dimensions of conflict and learn skills to better manage conflict through negotiation and mediation.

Team members assess their behavior in conflict situations through a self-scoring quiz, group discussions, and practice negotiation and mediation in role plays and exercises.

OVERVIEW OF CRITICAL EVENTS

- ☐ Team members identify their reactions to conflict through discussions, a quiz, and a game, and formulate team groundrules for conflict management.
- ☐ Negotiation is practiced by team members through games, exercises and role plays.
- ☐ Team members also practice mediation techniques by participating in role plays.

TODAY'S OBJECTIVES

- ☐ To examine sources and types of conflict.
- ☐ To identify individual responses to conflict.
- ☐ To learn how to prepare for and conduct effective negotiations.
- ☐ To practice mediation as a conflict resolution technique.

RESOURCES

Books

☐ Casse, Pierre and Surinder Deol. Managing Intercultural Negotiations: Guidelines for Negotiators and Trainers. Washington, D.C.: SIETAR International, 1985.

☐ Cohen, Herb. You Can Negotiate Anything. New York: Bantam Books, 1980.

☐ Fisher, Roger and William Ury. Getting To Yes: Negotiating Agreement Without Giving In. Washington, D.C.: Penguin Books, 1991.

☐ Maddux, Robert B. Successful Negotiation: Effective "Win-Win" Strategies and Tactics. Los Altos: Crisp Publications, Inc., 1986.

☐ Moore, Christopher W. The Mediation Process. Practical Strategies for Resolving Conflict. San Francisco: Jossey-Bass Publishers, 1986.

Articles

☐ Evans, Sybil. "Resolving Conflicts with Diverse Groups," Cultural Diversity at Work. January 1993, Vol.5, No.3, pp. 4-5.

☐ "Conflict Management Skills Crucial in the New World of Work," Training Director's Forum Newsletter. Lakewood Publications, July1992, Vol.8, No.7, pp. 1-3.

HOMEWORK

○ Complete assigned readings.

○ Think of a conflict situation at work that you would like to resolve. Note the the parties involved and the issue as you perceive it.

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FACILITATOR'S NOTES

The Managing Conflict skill unit is designed to help team members understand that conflict is part of collaboration. When managed appropriately, conflict can move collaborative efforts forward. Consider scheduling this unit after the team feels comfortable working together.

The unit is divided into three sections: conflict, negotiation, and mediation. Each section can stand alone and be expanded to ensure skill mastery. Pick and choose from the suggested activities (♦) to build your own "menu." As always, draw on the teams' collective experience, local resources, and community events to illustrate the learnings.

CRITICAL EVENTS

Conflict is a normal part of human interaction. -- Herb Cohen

CONFLICT

Objectives:

- To examine sources and types of conflict.
- To identify individual responses to conflict.
- To develop team groundrules for managing conflict.

Activities:

♦ **Sources of Conflict**

- ❖ Ask team members to brainstorm "causes of conflict." Chart their responses. Pass out **Sources of Conflict handout** (Attachment 7.1). After team members review, have them place their brainstorming responses into the closest categories. Some responses may fit one or more categories. You may also want to use the **Levels of Controversy handout** (Attachment 7.2) to clarify the discussion.
- ❖ Using the provided **Sources of Conflict pie chart** (Attachment 7.3), show that "interest," "data" and "relationships" are more easily negotiated while "structure" and "values" are harder.

- ❖ Process the discussion by asking team members:
  What did you learn about conflict?

♦ **Thomas-Kilmann Conflict Mode Instrument**

- ❖ Thomas-Kilmann discovered that people react in one of 5 basic ways when faced with interpersonal conflict. After team members complete the self-scoring instrument, use the **Modes of Conflict** article (pp. 111-116, Theories and Models in Applied Behavioral Science, Volume 3) for a general discussion of the 5 reactions to conflict. At the end of the review, spend time on the *collaborative* response.

  -- Does this fit your view of collaboration?
  -- Is this reaction compatible with what we are trying to accomplish?

♦ **Conflict Management: Developing a Procedure**

- ❖ Divide team into small groups of 3. Give each group the **Suggestion Sheets** ("Conflict Management: Developing A Procedure," 1991 Annual), flip chart paper and markers.

  Ask the groups to write ground rules for conflict management that the team can use. The ideas in the handout are a starting point from which they can expand, modify, or write their own.

- ❖ After 20 minutes, the groups display their ground rules to the team explaining their reasons for including specific ideas.

- ❖ Help the team come to consensus with ground rules that all team members can "live with." Aim for fewer rules rather than having all accepted. Record the final ground rules to be distributed to each member.

Close with the following questions:

- -- What did you learn about managing conflict?
- -- What did you learn about developing ground rules for group use?
- -- What are the differences between the handout guidelines and the ground rules the team adopted? How do you account for those differences?
- -- How can we ensure the ground rules will be used?

◆ Summary

Reproduce the **Summary Sheet** (Attachment 7.4) as an overhead or handout, and review it with team members. This is also a useful transition to negotiation.

Successful negotiations end with something both need. -- Roger Fisher

NEGOTIATION

Objective:

- To learn how to prepare for and conduct effective negotiations.

Activities:

◆ **Case of the Ugli Oranges**

- ❖ Divide the team in pairs and give each person one of two roles - **Mr. Roland or Mr. Jones** (Attachment 7.5). Tell the pairs they must resolve the conflict between the two.
- ❖ After 15 minutes, ask if they are nearing resolution. If not, give them a few more minutes. At time, ask the following questions:
    - -- What did each party want?
    - -- Who did not solve the problem? Describe your negotiations.
    - -- Who solved the problem and how?
    - -- What was the difference between the pairs who solved it and those who did not?

The difference will reflect those who approached the problem from a mutual, interest-based activity (collaborative problem solving) versus traditional positional bargaining.

Usually, 80% fail to solve the problem (note team's percentage). Reason: we are trained from childhood to be individual and competitive.

Those who approached it from interest-based assumptions stated their needs or asked the needs of their adversary.

Lawyers usually fail 98% of the time to resolve "Ugli Oranges" because they approach conflict from positional bargaining.

Discuss the **4 Ways to Deal with Problems** (Attachment 7.6 - write on flip chart or use the overhead provided).

-- Power
-- Rights-based system
-- Negotiate
-- Lump-it

Negotiation Planning

To prepare and effectively manage a negotiation, you need to consider both content and process.

Note: Review the three sources on content planning, **Negotiation Planning** ("Negotiator's Guide to Preparation" pp. 56-57, Successful Negotiations , "Pre-Negotiation Planning and Preparation," p. 25, Managing Intercultural Negotiations and "Effective Negotiation," pp. 15-22, Theories and Models in Applied Behavioral Science, Volume 3). Though similar, one (or all) may be more useful to your team. A possible exercise: Share all three strategies with the team and have them develop a format. If your time is limited, select one, or develop a composite and review with the team. Provide them with the handouts.

After both content and process planning have been reviewed complete the following 3 negotiation exercises:

- **Case of the Squabbling Authors**

  - Divide team into pairs (Alvarez and Castellano). Give team members time to prepare their content and process planning (15 minutes), then complete the negotiation. (Attachment 7.7)
    Process questions for the group:

    - -- How was the conflict resolved?
    - -- Did your planning work? Why or why not?

- **Money for All or Money For None**

  - Divide the team into three small groups of 4 for a total of 12 participants, Those not assigned to a small group serve as observers. To start, give the negotiating groups 15 minutes preparation time. As facilitator, you call time at 5 minute intervals and then allow only 2 minutes for regrouping. Allow up to 10 rounds before calling the negotiations to a halt. (Attachment 7.8)

    Process questions for the group:

    - -- What happened?
    - -- How did time affect the negotiation process?
    - -- If you made a breakthrough, when did you notice it?
    - -- What issues remained as stumbling blocks?
    - -- Is your agency satisfied with the outcome?

- **Negotiating Squares -- A Negotiation Game**

  - Divide the group into small groups of 6. Try to have 4 small groups of 6 for a total of 24 people (three groups will do, or groups of 5). Those remaining are observers. Have separate rooms, that can't be seen by the others, where the small groups can go to plan. Outline the following ground rules:

    - -- Group members may talk and use other forms of communication while planning their response in their 6-person group.

    - -- There must be no talking or other verbal communication when all the small groups meet together.

    - -- Time restrictions will be strictly followed.

Directions -- You are units of a marching band. At the end of your negotiations, you must have the same four steps to which everyone can march.

You have 4 minutes to design or refine your steps. You will have 2 minutes to present your steps to the other units.

- While the small groups are out of the room, place a large square sheet (poster board is good) in the center of the room. After 4 minutes call the small groups back and arrange them around the negotiating square.

- Give each group 2 minutes to present their steps. Repeat the process until all units are marching to the same 4 steps.

  Process questions:

  -- What were we trying to accomplish?
  (Answer: Create a common goal.)
  -- What were your reactions to the other units' cooperation (or lack of it)?
  -- What did you learn?

- **Negotiation Problem III**

  - This is quite effective as a role play (Attachment 7.9). Have several team members present it to the large group, or divide the team into smaller groups with each group resolving the problem before the entire group. The advantage of using several small groups: you are likely to see different outcomes.

    Group process questions:

    -- Was the project director an effective negotiator?
    How do you know?

Wrap-up this section on negotiation by reviewing the **Negotiation Process** (Attachment 7.10), **Eight Critical Mistakes** (p.53, Successful Negotiation) and **Things Effective Negotiators Do** (Attachment 7.11). They and can be used as overheads and reproduced as handouts.

Discussion Question:

- How will your new skills in negotiation help your collaborative leadership skills?

Mediate -- to bring accord out. -- Webster's Dictionary

MEDIATION

Objective:

- To practice mediation as a conflict resolution technique.

Activities:

Mediator's Role and Functions (Attachment 7.12): Review with team members the role of the mediator -- that of a third-party objective participant in a negotiation. The principles of negotiation apply to mediation. Preparation and effective management of process yield win/win outcomes. Now for some practice!

♦ Lunch or Eviction

Divide team into groups of three. Assign one team member the role of mediator, another the role of representing the management at St. Margaret's, and a third, Gonzalez et al. The mediator gets copies of both sheets (Attachment 7.13).

Give each party time to prepare. The mediator then goes to work.

Process the exercise by discussing:

- What was the conflict?
- How was the conflict resolved?
- What was the mediator's role?

♦ Brandon Falls, USA

- Another mediation exercise. Divide the team into small groups or have select team members role play the solution before the entire group. (Attachment 7.14)

Process the results by asking questions similar to the ones above.

WRAP-UP

- Review the overhead, **Successful Collaborative Negotiation,** (Attachment 7.15). Ask team members to consider the key idea in this statement.
    - Is it true?
    - Will it further collaborative initiatives?
    - What did you learn about conflict today?
    - What will you now do to better manage conflict?
    - What did you learn today that you will use at work?

◆ **Homework Review**

This exercise can be completed during the session (in small groups) or written as a follow-up (homework) activity. Ask team members to consider the following questions:

- Based on what you have learned about conflict, can you now better describe the conflict situation?

- What steps will you now take (negotiation, mediation, other) to resolve the issue?

- What do you anticipate as the likely outcome?

FEEDBACK FORM

IEL needs your feedback on the Facillitator's Guide to keep us on the cutting edge of training collaborative leaders. Please take a few minutes to reflect on this unit, the team members' reactions, and your suggestions for any changes. Thank you for answering the questions below and returning the form with your day's agenda and list of resources used. **Please fax them to Wendy Russell at 202-872-4050.** THANK YOU!

1. Which activities were most effective? Why?

2. What would you do differently, if you repeated this unit? Why?

3. Which resources did team members find useful, relevant? Did you supply additional ones? If so, what?

4. What were the team's key learnings?

5. What were your key learnings?

6. Other comments or suggestions?

FACILITATOR'S GUIDE TO RESOURCES

The following books can be found in local bookstores or libraries:

☐ Cohen, Herb. You Can Negotiate Anything. New York: Bantam Books, 1980.

☐ Fisher, Roger, and William Ury. Getting To Yes: Negotiating Agreement Without Giving In. Washington, DC: Penguin Books, 1991.

☐ Maddux, Robert B. Successful Negotiation: Effective "Win-Win" Strategies and Tactics. Los Altos: Crisp Publications, Inc., 1986.

☐ Moore, Christopher W. The Mediation Process, Practical Strategies for Resolving Conflict. San Francisco: Jossey-Bass Publishers, 1986.

The following articles can be found in college libraries or by calling the publishers:

☐ Evans, Sybil. "Resolving Conflicts with Diverse Groups," Cultural Diversity at Work. January 1993, Vol.5, No.3, pp. 4-5. (206-362-0336)

☐ "Conflict Management Skills Crucial in the New World of Work," Training Director's Forum Newsletter. Lakewood Publications, July 1992, Vol.8,No.7, pp. 1-3. (800-328-4329)

The following resources can be ordered from:

☐ Managing Intercultural Negotiations ($13.95):

Intercultural Press
Yarmouth, ME
207-846-5168

The Thomas-Kilmann Conflict Mode Instrument:

Xicom, Inc.
800-759-4266
$5.50 each

Other sources used:

- ☐ Blechman, F. (August 5-6, 1992). *Resolving Public Conflicts* (*Training Notes*). A Workshop for the Virginia Collaborative Leaders Program. Institute for Conflict Analysis and Resolution, George Mason University, Fairfax, VA.
- ☐ "Conflict Management: Developing a Procedure" # 483, The 1991 Annual: Developing Human Resources. San Diego, CA: Pfeiffer & Company, 1991, pp. 119-122. (800-274-4434)
- ☐ Jaffe, S. & Stamato, L. of the Center for Negotiation and Conflict Resolution, Newark, NJ. (December 18, 1992). *Conflict Resolution and Collaborative Problem Solving*. Presentation to the New Jersey Collaborative Leaders Program, Princeton, NJ.
- ☐ " Modes of Conflict," Theories and Models in Applied Behavioral Science, Volume 3: Management/Leadership, San Diego, CA: Pfeiffer & Company, 1991, pp. 111-116. (800-274-4434)

ATTACHMENTS

7.1 Sources of Conflict Handout

7.2 Levels of Controversy

7.3 Pie Chart Overhead

7.4 Summary Sheet Handout/Overhead

7.5 Case of the Ugli Oranges

7.6 Four Ways to Deal with Problems Handout/Overhead

7.7 Case of the Squabbling Authors

7.8 Money for All or Money for None

7.9 Negotiation Problem III

7.10 Negotiation Process and Win/Win Overheads

7.11. Things Effective Negotiators Do Handout

7.12 Mediator's Functions Handout/Overhead

7.13 Lunch or Eviction

7.14 Brandon Falls, USA

7.15 Successful Collaborative Negotiation Handout/Overhead

SOURCES OF CONFLICT

Each of the sources of conflict are described below.

- **DATA:** This is a very common kind of conflict based on different sources, analysis or interpretation of information. Fortunately, there are many techniques to resolve these issues. (Most technical knowledge is based on the ability to objectively measure or quantify.) Data disputes can often be recognized in questions such as "How many? What's best?"

- **RELATIONSHIPS:** Human interaction is almost always a part of the story where conflict has gone on a long time or escalated dramatically. Relationship issues can be recognized when one party questions the "trustworthiness", "integrity", "mental acuity" or "reliability" of another party. Family and workplace disputes often include relationship issues.

- **VALUES:** These conflicts can be extremely intense if the belief under dispute is closely linked with a disputant's identity. The conflict over public policy on abortion is an example of a deep-rooted values-based dispute. These disputes are often characterized by efforts to define what is "right" in some moral sense, BUT values disputes can also be rooted in relatively shallow differences or preferences. A smokescreen or moral values may mask other types of conflict.

- **STRUCTURE:** Parties may conflict because of the structure of system within which they operate. If they cannot change something in the situation, the issue will recur over and over again. These disputes are common in the workplace where rules or jobs push individuals or groups into conflict. These issues may also be recognized when physical limits prevent everybody from getting what they want.

- **INTERESTS:** Often, behind conflicts which appear to be one of the above, conflicting interests are at work. I want or need something different. Interest conflict often can be resolved because there may be many ways to satisfy interests, but they are also dangerous because they can escalate quickly. Parties will go to war if it is in their best interest to do so.

It is important to understand these different types of issues in conflict, because some tools will only work to resolve certain disputes. Misdiagnosis may lead to application of the wrong approach, with poor results. For example, technically trained people often frame disputes in terms of data and seek solutions in information. "if we can just get enough information and analyze it thoroughly enough, we can find an answer to this problem!" If the conflict is truly about data, this may be true. But you cannot resolve relationship or values disputed by throwing data on them. You may make things much worse.

THE MEDIATION PROCESS, 1986 Jossey-Bass Publishers, Inc.

Attachment 7.2

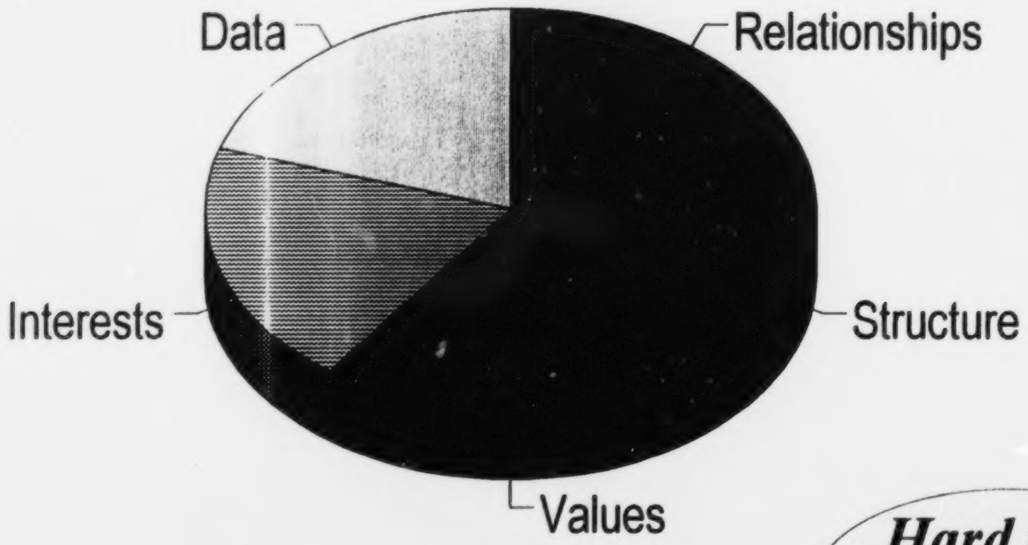
LEVELS OF CONTROVERSY

Differences	People are different. These differences usually make life interesting and are a cause of productive interaction. The fact that we differ in some way, is not in itself a cause of discord.
Disagreements	Sometimes, parties who differ meet, discover their differences and try to change the other party's point of view or actions. We would have a disagreement. We would differ, and know that we differ. BUT there would be NO consequences if we fail to agree. We would just go our separate ways. The disagreement might even be friendly. It might very happily continue for a long period of time (sports rivalries. . .) with no effort to "resolve the differences".
Problems	The difference or disagreement is causing some consequence for at least one party. It could be ignored, but it is annoying or expensive, or both. Problems are the gateway to either resolution of crisis. Unresolved problems often escalate into more serious controversies. Resolved problems are part of everyday living; hardly noticed.
Disputes	The problem has been acknowledged by more than one party. They know that they differ, and that they disagree, and at least one party would like to end the issue. That one may have approached other parties exploring possible ways to end the problem.
Conflicts	At least two parties are definitely engaged. Positions seem incompatible. Neither wants to lose. There may be deeply held values or needs at stake. Each is willing to put in more and more resources to either "win" or avoid "losing". The dispute has spiralled up into a conflict.
Violence	One or more of us is willing to use force to get what we want. This may be physical force, but it can also be emotional or psychological.
War	Whatever our original difference, the conflict has escalated so far that one of the major objectives has become harming another party.

In the public sphere, differences and disagreements are seldom addressed. Specialists (mental health officials, police or the military) deal with violence and war. Most of the issues which require public action involve one of the middle three levels of conflict.

Sources of Conflict

Negotiable



Hard to Negotiate

Attachment 7.3

THE MEDIATION PROCESS, 1986 Jossey-Bass Publishers, Inc

SUMMARY

- Conflict is a normal part of human interaction
- Conflict resolution should NOT be an effort to suppress or eliminate conflict; rather an effort to direct the energy of conflict into constructive channels.
- Conflicts can end in many ways. Often conflicts end with a decision about what will happen in the future.
- Not all conflicts can have joint or negotiated endings. But when mutual outcomes can be found, they are more self-enforcing, efficient and durable.
- Joint processes create new things: relationships, understanding, criteria, resources and outcomes.
- Joint processes help everyone work together effectively.
- There are many types of conflicts and many processes to resolve them. People approach conflict with expectations often based on previous experience.

Attachment 7.5

THE CASE OF THE UGLI ORANGES

ROLE FOR J.W. JONES

You are Dr. J.W. Jones, a biological research scientist employed by a pharmaceutical firm. You have recently developed a synthetic chemical useful for curing and preventing Rudosen. Rudosen is a disease contracted by pregnant women. If not caught in the first four weeks of pregnancy, the disease causes serious brain, eye and ear damage to the unborn child. Recently, there has been an outbreak of Rudosen in your state, and several volunteer women have contracted the disease. You have found, with volunteer victims, that your recently developed synthetic serum cures Rudosen in its early stages. Unfortunately, the serum is made from the juice of the Ugli orange which is a very rare fruit. Only a small quantity (approximately 4000) of these oranges were produced last season. No additional Ugli oranges will be available until next season, which will be too late to cure the present Rudosen victims.

You've demonstrated that your synthetic serum is in no way harmful to pregnant women. Consequently, there are no side effects. The Food and Drug Administration has approved the production and distribution of the serum as a cure for Rudosen.

Unfortunately, the present outbreak was unexpected, and your firm had not planned on having the compound serum available for six months. Your firm holds the patent on the synthetic serum, and it is expected to be a highly profitable product when it is generally available to the public.

You have recently been informed, on good evidence, that R.H. Cardoza, a South American fruit exporter, is in possession of 3000 Ugli oranges in good condition. If you could obtain the juice of all 3000 you would be able to both cure the present victims and provide sufficient inoculation for the remaining pregnant women in the state. No other state currently has a Rudosen threat.

You have recently been informed that Dr. P.W. Roland is also urgently seeking Ugli oranges and is also aware of Cardoza's possession of the 3000 available. Dr. Roland is employed by a competitor pharmaceutical firm. She/He has been working on biological warfare research for the past several years. There is a great deal of industrial espionage in the pharmaceutical industry. Over the past several years, Dr. Roland's firm and your firm have sued each other for infringement of patent rights and espionage law violations several times.

You've been authorized by your firm to approach Cardoza to purchase the 3000 Ugli oranges. You have been told that she/he will sell them to the highest bidder. Your firm has authorized you to bid as high as $250,000 to obtain the juice of the 3000 available oranges.

Before approaching Cardoza, you have decided to talk with Dr. Roland so that you will not be prevented from purchasing the oranges.

Source: **Auvine, Brian. A Manual for Group Facilitator's. Center for Conflict Resolution, Madison, WI, 1977. © R.J. House. Used with author's permission.**

Attachment 7.5

THE CASE OF THE UGLI ORANGES

ROLE FOR P.W. ROLAND

You are Dr. P.W. Roland. You work as a research biologist for a pharmaceutical firm. The firm is under contract with the government to do research on methods to combat enemy uses of biological warfare.

Recently, several World War II experimental nerve gas bombs were moved from the U.S. to a small island just off the U.S. coast in the Pacific. In the process of transporting them, two of the bombs developed a leak. The leak is presently controlled, but government scientists believe that the gas will permeate the bomb chambers within two weeks. They know of no method of preventing the gas from getting into the atmosphere and spreading to other islands, and very likely to the West Coast as well. If this occurs, it is likely that several thousands of people will incur brain damage or die.

You've developed a synthetic vapor which will neutralize the nerve gas if it is injected into the bomb chamber before the gas leaks out. The vapor is made with a chemical taken from the rind of the Ugli orange, a very rare fruit. Unfortunately, only 4000 of these oranges were produced this season.

You've been informed, on good evidence, that R.H. Cardoza, a fruit exporter in South America, is in possession of 3000 Ugli oranges. The chemicals from the rinds of this number of oranges would be sufficient to neutralize the gas if the serum is developed and injected efficiently. You have also been informed that the rinds of these oranges are in good condition.

You have been informed that Dr. J.W. Jones is also urgently seeking purchase of Ugli oranges and she/he is aware of Cardoza's possession of the 3000 available. Dr. Jones works for a firm with which your firm is highly competitive. There is a great deal of industrial espionage in the pharmaceutical industry. Over the year, your firm and R. Jones' firm have sued each other for violations of industrial espionage laws and infringement of patent rights several times. Litigation on two suits is still in process.

The Federal government has asked your firm for assistance. You've been authorized by your firm to approach Cardoza to purchase the 3000 Ugli oranges. You have been told she/he will sell them to the highest bidder. You firm has authorized you to bid as high as $250,000 to obtain the rind of the oranges.

Before approaching Cardoza, you have decided to talk to Dr. Jones so that you will not be prevented from purchasing the oranges.

Source: **Auvine, Brian. A Manual for Group Facilitators. Center for Conflict Resolution, Madison, WI, 1977. © R.J. House. Used with author's permission.**

FOUR WAYS TO DEAL WITH PROBLEMS

1. POWER

You are the boss, parent, teacher... go on strike, boycott... go to war. High emotional and financial costs and harms the relationship.

2. RIGHTS-BASED

Following a body of law, or tradition. The Courts decide, again at an emotional and financial cost.

3. LUMP-IT

Just forget it, brush it off, but we never do, really. We resent it or store it for later use. Can have emotional and financial costs with impact on the relationship.

OR

4. NEGOTIATE

We spend a large percentage of our day negotiating. It is efficient, reasonable, cost free, emotionally satisfying and improves relationships.

THE CASE OF THE SQUABBLING AUTHORS: A NEGOTIATION EXERCISE

J.J. Alvarez is an anthropology professor at Kean College who, together with B.B. Castellano, a younger anthropologist at Rutgers University, has written a book that is about to be sent out to the publisher. As with any extended collaboration -- this one over a period of almost four years -- there have been ups and downs in the relations of the two authors, but they managed to work things out and both believe they have produced an important and high quality book. The problem is that when it came to doing the title page there emerged a strong disagreement over whose name should be first.

The book had been rejected previously by two publishers; the authors had substantially revised it to respond to criticisms. Originally, the pair had agreed that Castellano would do the majority of the writing and would be the first author.

Both Alvarez and Castellano see "first authorship" as an issue of principle and neither has been willing to back down. They both realize, however, that they must get the matter resolved quickly so they can get the book to the publisher.

CASTELLANO FACTS:

You are assistant professor, and the junior member of the pair, but in your view seniority is not an issue here. You believe you did the bulk of the work and therefore your name should be first.

You deny Alvarez's claim that he/she did the majority writing and contend that the bulk of the writing in the current version was yours. You insist that the original agreement regarding first authorship is still valid. In the first place, you believe in having justice done: you are responsible for most of the work and, therefore, you should be first author. You need a "good-looking vita;" your research had been going through a fallow period and your prospects for gaining tenure might be considerably improved if you had a book published with Alvarez on which you were the senior author. Alvarez had proposed an alphabetical listing, but you rejected that because if his/her name is first, the paper would generally be referred to as his or hers, and any acknowledgement is not likely to alter that perception. You do agree, though, that whoever was ultimately "first author" would accept such an acknowledgement as a means of softening the other's defeat.

Despite your differences, you continue to respect Alvarez and remain grateful to him/her for the support and encouragement you have received over the years.

Source: **Center for Negotiation and Conflict Resolution. The State University of New Jersey, Rutgers.**

MONEY FOR ALL OR MONEY FOR NONE

Four large agencies have just been notified by the state government that each will be awarded the sum of $5 million dollars to improve and enhance services for the families they serve. However, there is one stumbling block that can pull the plug for everybody and that is all four agencies must be on the plus side of Zero 0 for their monthly totals. At present, Agency A is + 17, Agency B is + 10, Agency C is - 13, and Agency D is - 9. Moreover, Agency B has not bought into the idea that agencies should and can work together to obtain in effect collaborative funding. Negotiations have been going on daily to resolve some conflict that has lingered, and critical decisions must soon be made in order for everyone to benefit. Your initial task is to caucus within your agency's leadership and select a representative for the final three rounds of negotiations. You need to know that the points for Round 8 are doubled, the points for Round 9 are tripled, and the points for round ten are quadrupled -- in other words the stakes are really big.

The four representatives will have 5 minutes to discuss the positions of their respective agencies, and an additional two minutes with their agency team before and after each round of negotiations. It is now time to get started.

NEGOTIATION PROBLEM III

You are meeting with the vice principal on a number of items that are very important to a youth service project (or invent a project program of your choice). You are the project director. The main issue is dealing with a terse memo every director received a few days ago that tells you to prepare a budget 15% less than last year's. Such a cut would be catastrophic to your project because it is relatively new, doesn't have the "cushion" many other projects have, and is just beginning to make a significant contribution to the school. The number of new volunteer enrollees is increasing and the persistence level of others is higher than last year. So numbers are up overall.

The meeting goes from bad to worse--the vice principal says, "You'll simply have to take the 15% cut; every project has to do its fair share." The absolute character of her/his statement has you very concerned and when that is followed up by a statement that there is no established record for your project and implying, as well, that "it has little value" and that "this goes to the principal if you give me a problem," you need to regroup quickly and change the tone of the negotiation.

How do you accomplish that?

Source: **Center for Negotiation and Conflict Resolution. The State University of New Jersey, Rutgers**

Negotiation Process:

A way of acting and behaving that can develop understanding, belief, acceptance, respect, and trust.

Herb Cohen, You can Negotiate Anything

Attachment 7.10

Win/win -- using the process to meet needs: building trust, gaining commitment, managing opposition

Herb Cohen, You can Negotiate Anything

Attachment 7.10

Attachment 7.11

THINGS EFFECTIVE NEGOTIATORS DO...

☐ 1. Avoid things that irritate the other side

☐ 2. Avoid counterproposals

☐ 3. Avoid getting into defend/attack spiral

☐ 4. Don't dilute their arguments (i.e. give one or two strong arguments rather than many weaker ones)

☐ 5. Label contributions (prefacing statements "Just to clarify..." "Can I ask a question?")

☐ 6. Start with reasons for disagreement and then state that disagreement rather than the reverse.

☐ 7. Check for understanding, summarize frequently

☐ 8. Seek more information than provided (more questions than statements)

☐ 9. Say how they are thinking and feeling (i.e. prepared to give "process" information)

Coverdale Organization, Inc. 1/86

Attachment 7.12

Mediator's Functions

- Set the tone
    - orient the parties
    - establish rules
    - negotiate in good faith
    - establish trust in you

- Manage the process
    - Articulate different wants, needs, positive interests
    - aid communication
    - inject reality
    - translate/rephase
    - suggest options - if they are stuck
    - note common interests

LUNCH OR EVICTION:
A TWO PARTY ROLE PLAY FOR MEDIATION

St. Margaret's is a low-income, congregate-care center in the vicinity of the South Street Seaport in lower Manhattan. It opened in 1981 and it has some 250 residents, many of them quite elderly but all of them able to get around on their own. This is not a nursing home. The United States Department of Housing and Urban Development and Trinity Church are involved in its operation.

To live in St. Margaret's you must agree in advance to have either lunch or dinner in the cafeteria. St. Margaret's considers a daily communal meal "the cornerstone of the congregate-care concept." The cost for this is $130 a month, unless that amount would leave a resident with less than $120 a month left over, after rent and food, in which case the meal fee is reduced accordingly.

One of the first residents in the building was Josephine/Joseph Gonzales (hereafter referred to as "Jo"), who paid them the $110-a-month stipend for the daily meal for two years, though she continued to cook her own zesty fare in her 18th-floor flat, never going down to dine with the neighbors. Last year, she stopped paying altogether. She has been joined by twenty other residents in their refusal to pay and to eat any meals in the facility's group dining room.

It has been a long, mean fight for these residents; they continue to refuse to take a mandatory daily meal in the cafeteria and they refuse to pay for the privilege. As a consequence, the management has served notice to terminate their tenancies. These people are fairly poor, and they find the prospect of losing their shelter breathtaking, but they say they'll not, under any circumstance, give in and come to supper. To them the issue is one of principle (and they also believe they are being treated like children and the deeply resent it.)

Ms./Mr. Gonzalez and the other residents appealed to the Legal Aid Society for help. The Society has filed suit on their behalf and the case is pending before a federal district court judge.

The Legal Aid Society has told Ms./Mr. Gonzalez that she might not want to risk "going all the way" with the case, given the time, cost and ultimately the risk of losing. Legal Aid has suggested that they try mediation.

FACTS FOR JOSEPHINE/JOSEPH GONZALEZ ET AL:

Ms./Mr. Gonzalez, and some of her more vocal colleagues are contemptuous of St. Margaret's rule. One of them has said, "My back prickles at anything compulsory; I never heard of a lease that demanded you eat in a private, profit-making cafeteria every day for the rest of your life and pay in advance!"

The issue is not the quality of food; it could be a four-star restaurant as far as they are concerned. Rather, the issue is freedom.

On the other hand, Ms./Mr. Gonzalez admits she doesn't know what to do. She pays $80 in rent for a one-bedroom apartment from her $400 monthly income and has no other money. "I'm reserving us benches at Grand Central," one of her colleagues told her.

There has never been any way to register a grievance at this place, unfortunately, or even to get your problems taken seriously. 'What choice did I have,' she thinks, except to boycott the dining hall or to bring some legal action? No one would listen to me otherwise.

In any event, perhaps this has gone far enough. Although some of the others don't agree, maybe she has made her point. After all, she started it. This "constituency" business will make it difficult for her to end it even if she wants to. Maybe she should cooperate. Is there another alternative between eviction and compulsory meals? She will go to the mediation session and see.

Source: Center for Negotiation and Conflict Resolution. The State University of New Jersey, Rutgers.

BRANDON FALLS, USA: A MEDIATION SCENARIO

Brandon Falls, a moderate size town in a northeastern state, has experienced a marked decline in its school-aged population. Accordingly, the local school board has decided to close an elementary school located on the fringe of the downtown area permanently.

The future use of the building is a subject of importance both for the board and for the town. A number of people in the area have been expressing increasingly vocal concern. A number have attended board meetings to register their concerns. They don't want to see the building left vacant, certainly not for long, and yet they have been opposed to the proposed uses that have surfaced, informally, through the grapevine. They have expressed interest in keeping traffic to a minimum and in preserving much of the appearance of the existing structure.

The board has decided to make the building available at no cost but has been unable to decide to whom or for what use. A number of non-profit groups have linked together to argue for turning the building into a center for non-profit organizations. Among them are a number of arts groups, the local ACLU chapter, and a Women's Club Exchange. The local library, which has been looking for additional space for a branch location, has also indicated some interest in the building.

The other major contender for the building is a local economic development corporation that sees the location, the basic building (perhaps the land for expansion) as an ideal location for business purposes. It would like to develop the site for professional offices and small businesses.

The school board has decided to consider the petitions of each group for the site at its next meeting which is scheduled in two weeks. It will make a decision at that time as to whom to give the building. In the interim, the president of the school board has asked the president of the local League of Women Voters to mediate among the contending groups to see if there is any possibility of reaching negotiated agreement.

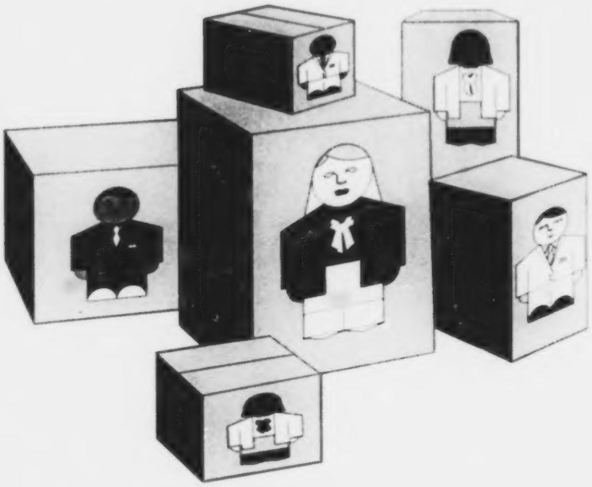
Source: **Center for Negotiation and Conflict Resolution. The State University of New Jersey, Rutgers.**

Attachment 7.15

Successful collaborative negotiation lies in finding out what the other side really wants and showing them a way to get it, while you get what you want.

Herb Cohen, You can Negotiate Anything

BUILDING CROSS-CULTURAL AWARENESS



Developing cross-cultural skills for working in diverse collaborative environments.

BEST COPY AVAILABLE

GOAL

To develop cross-cultural awareness skills for working constructively in the diverse environments of collaboratives.

Team members examine both individual and institutional behaviors and practices that are influenced by culture (dominant and minority) through exercises, role plays, a video, case study, and discussions.

OVERVIEW OF CRITICAL EVENTS

- ☐ Team members explore how cultural differences and stereotypes have shaped their behaviors through an array of activities and structured exercises.
- ☐ Values are both individual and institutional and affect how team members view each other and their work. Three activities help clarify those value orientations.
- ☐ A video, case study and demographic exercise offer team members insight into how culture becomes institutionalized.

TODAY'S OBJECTIVES

- ☐ To examine the biases, attitudes, and values of diverse individuals and how these factors affect individual and institutional behaviors.
- ☐ To appreciate that all people have their own culture.
- ☐ To increase awareness of social values and how these differ among people and groups.
- ☐ To identify some of the social, economic and political implications of diversity.
- ☐ To identify and practice cross-cultural leadership skills.
- ☐ To identify cross-cultural barriers to collaboration.

RESOURCES

☐ Chang, Hedy Nai-Lin. Drawing Strength from Diversity. San Francisco, CA: California Tomorrow, 1994.

☐ Cross, Terry L. Towards a Culturally Competent System of Care: Vol I. Washington, D.C.: CASSP Technical Assistance Center, March 1989.

☐ Diversity & Governance: Changing Populations and the Future of Cities and Towns. Washington, D.C.: National League of Cities, 1991.

☐ Fernandez, John P. Managing a Diverse Workforce. Lexington: Lexington Books, 1991.

☐ Hodgkinson, Harold L. A Demographic Look at Tomorrow. Washington, D.C.: Center for Demographic Policy, 1992.

☐ Hodgkinson, Harold L. The Same Client: The Demographics of Education and Service Delivery Systems.Washington, D.C.: Center for Demographic Policy, 1989.

☐ McIntosh, Peggy. "White Privilege: Unpacking the Invisible Knapsack," Peace and Freedom. July/August 1989, pp.10-12.

☐ Thomas, R. Roosevelt. "From Affirmative Action to Affirming Diversity," Harvard Business Review. March-April 1990, pp.107-117.

HOMEWORK

○ Complete readings and activities as assigned.

○ Go to a setting -- restaurant, temple, mosque -- that is unfamiliar and where you are in the minority. Record your impressions and be prepared to discuss them at the next meeting.

FACILITATOR'S NOTES

This unit is designed to focus on two aspects of cultural awareness skill development: the individual and the institution.

By **institution** we mean "a significant practice, relationship or organization in a society or culture." This can be considered the workplace, community, or the like.

Depending on the needs and interests of team members, selections from the suggested activities (marked with a diamond ♦) can be used to develop a day-long program, or used "in pieces" to address diversity issues as they arise. Be creative with the exercises and modify them to address critical issues (race, gender, conflict, communication, inequity, etc.) by changing the directions or process questions.

Diversity can be a touchy topic. Be sure you process reactions and feelings thoroughly. Don't overpack the day and slow down if an issue needs further discussion. For too long these issues have been tip-toed around.

This unit is also designed to be a resource for team members who wish to address diversity issues at work. The exercises can be easily replicated and used to build a program for staff.

The Fernandez book, Managing a Diverse Workforce, provides a good foundation on the issues. You may want to begin the session discussing team members' reactions to the book, or to select quotes (see "Why Collaboration is so Hard" and Ann Lander's column handouts, Attachment 8.1) to spark discussion.

Discuss the homework assignment by asking team members: How did it feel to be in a minority setting? What did you notice about your actions and those of the majority?

CRITICAL EVENTS

BUILDING CROSS-CULTURAL COMPETENCE: THE INDIVIDUAL

Celebrating Diversity

Objective:

- To celebrate the cultural identity of each person on the team.

Activity:

❖ Following the instructions for **Introductions** (Attachment 8.2), all group members introduce themselves.

First Thoughts

Objective:

- To examine stereotypes and the barriers they create.

Activity:

❖ Follow the directions for **First Thoughts exercise** (Attachment 8.3)

At the completion, ask the following questions:

-- What are your thoughts about these stereotypes?
-- How do we form them?
-- How do we overcome them?

Pass out and review the **Definitions handout** followed by the **Assumptions handout** (8.3). Get agreement on #8.

Culture - Its Influence on Us

Objectives:

- To review the components of culture.
- To appreciate that all people have their own culture.
- To help people be aware of how culture judges and isolates others.
- To appreciate how communication is influenced by culture.

Activities:

❖ Choose one, some, or all from the exercises below.

◆ **The Iceberg Theory**

Culture is 80% of who we are and how we act (behavior); personality is the remaining 20%. Because culture is behaviorly motivated, it is trainable. But, just like an iceberg, you can see and recognize the 20% above the water line. It's the 80% below the water line that will create problems.

Follow the instructions for the **Iceberg Theory exercise** (Attachment 8.4). This exercise helps team members explore the components of culture, recognize that all people have their own culture and identify the stages of cross-cultural development.

◆ **Caucuses and Speak-Outs**

Reducing our own prejudice demands identifying our own early experiences with mistreatment. This exercise lets team members caucus in self-chosen identity groups. Examples: Jews, African-Americans, Southerners, Women, Men, Physically Disabled, Latinos/as, New Yorkers, etc.

The **Speak-Out** removes the barriers of ignorance and allows individual members to share their experiences with mistreatment and misunderstanding. See Attachment 8.5 for directions.

- **Diversity Awareness Profile – Individual**

  The **Diversity Awareness Profile (DAP)** assists people in becoming aware of ways in which they discriminate against, judge, or isolate others. The purpose of the instrument is to help respondents become aware of their behaviors, to evaluate them, and work to modify them. See Attachment 8.6 for information.

- **Personal Influences**

  Team members identify the major factors which influenced them in developing their identities. (Attachment 8.7)

- **Communicating Our Way**

  Team members will appreciate that communication styles are influenced by culture and that difficulties arise when the rules are changed. (Attachment 8.8)

VALUE ORIENTATIONS

Objectives:

- To increase awareness of social values and how these differ among people and groups.

Activities:

- Values can be both individual and institutional. The following exercises can be adapted to address either or both. This segment serves as a bridge between these two aspects of the unit.

- **Appreciating Diversity Exercise**

  This exercise, **Heart Transplant** (Attachment 8.9), helps team members explore values and the impact of culture on values formation.

  Have team members complete the exercise individually, before discussing their decisions in small groups of 4 - 6.

While in small groups, pass out the "Processing Questions." Again, give team members a few minutes to work alone, then have them share their answers with the group.

You need to observe the group's discussions while listening for value-laden statements -- "he's too old." A value translation: the U.S. is a youth-oriented culture. Write several of these statements on a flip chart as examples. Encourage team members to add others from their discussion.

In closing, ask the following questions:

-- Were value differences among group members were noticeable?
-- How did this affect the exercise's outcome?
-- How do values impact the work you do?

◆ Race From Outer Space: An Awareness Activity

An exercise that compares the qualities and skills needed to lead a homogeneous group and a heterogeneous group (The 1979 Handbook: Developing Human Resources).

Additional questions -

-- If collaboration was discussed during the exercise, review how it helped.
-- If collaboration was not discussed, why not? Would such a discussion have helped?

◆ Values of American Culture

Team members compare the community's value orientations to American culture (Attachment 8.10).

Additional questions -

-- Which values support collaboration?
-- Which values hinder collaboration?

BUILDING CROSS-CULTURAL AWARENESS: INSTITUTIONS

Objectives:

- To identify some of the social, economic and political implications of diversity.
- To identify and practice cross-cultural leadership skills.
- To identify cross-cultural barriers to collaboration.

Activities:

- Choose one, some, or all of the activities listed below.

◆

Demographic Exercise

This exercise helps team members understand how changing community demographics affect team members, their work, and how these changes impact the services provided.

As homework, have team members collect data from their organizations. Suggested questions follow, but add others as appropriate. Refer to Understanding Demography by Janice Hamilton Outtz, a useful resource.

-- What are the demographics of your organization? (percentage male/female, ethnic, young/old?)
-- What are the demographics of your clients, members (people your organization serves)?
-- What are the demographics of your community?
-- Are these demographics reflected in the community or state leadership -- county board, school board, social services, etc.?

During the session, have team members share their data in small groups. Have them note the following:

-- What insights did you gain?
-- What are the implications that arise from this data?
-- How can your collaborative efforts make a difference?

Have the small groups share the results of their discussion.

◆ **Case Study**

Discuss the **Harvard Case Study "Finding Black Parents: One Church, One Child"** (Description Attachment 8.11) Consider assigning as homework so session time is not spent on reading.

Suggested questions:

- -- How many cultures were bridged in this case?
- -- What are the leadership lessons about diversity in this case study?
- -- What were the policies that supported and impeded a resolution?
- -- What collaborative efforts were evident?

◆ **Managing Diversity -- A Video**

"Managing Differences" shows managers how to recognize talent and how to develop and motivate diverse employees. The video illustrates how ethnic stereotypes and cultural differences affect management and how unwritten rules affect the mobility of women and minorities.

We suggest you preview prior to the session and review the guide's discussion questions to plan this segment.

WRAP-UP

Activity:

❖ Team members discuss the following questions in small groups or in large group setting:

- -- What is the one key learning about diversity you gained from today?
- -- What did you learn about diversity's influence on collaboration?
- -- What are you personally going to do differently as a result of today?
- -- What information will you take back to work?
- -- What can the CLP team do differently?

FEEDBACK FORM

IEL needs your feedback on the Facilitator's Guide to keep us on the cutting edge of training collaborative leaders. Please take a few minutes to reflect on this unit, the team members' reactions, and your suggestions for any changes. Thank you for answering the questions below and returning the form with your day's agenda and list of resources used **Please fax them to Wendy Russell at 202-872-4050.** THANK YOU!

1. Which activities were most effective? Why?

2. What would you do differently, if you repeated this unit? Why?

3. Which resources did team members find useful, relevant?
   Did you supply additional ones? If so, what?

4. What were the team's key learnings?

5. What were your key learnings?

6. Other comments or suggestions?

FACILITATOR'S GUIDE TO RESOURCES

Available at local book stores or libraries:

- ☐ Fernandez, John P. Managing a Diverse Workforce. Lexington: Lexington Books, 1991. $22.50.
- ☐ McIntosh, Peggy. "White Privilege: Unpacking the Invisible Knapsack," Peace and Freedom. July/August 1989, pp.10-12.
- ☐ Thomas, R. Roosevelt. "From Affirmative Action to Affirming Diversity," Harvard Business Review. March-April 1990, pp.107-117.

Can be ordered from IEL (202-822-8405):

- ☐ Hodgkinson, Harold L. A Demographic Look at Tomorrow. Washington, D.C.: Center for Demographic Policy, 1992.
- ☐ Hodgkinson, Harold L. The Same Client: The Demographics of Education and Service Delivery Systems. Washington, DC: Center for Demographic Policy, 1989.
- ☐ Outtz, Janice H. Understanding Demography: A Manual. Washington, DC: Center for Demographic Policy, 1992.

Order the following as indicated:

- ☐ Chang, Hedy Nai-Lin. Drawing Strength from Diversity. San Francisco, CA: California Tomorrow, 1994. (415-441-7631)
- ☐ Cross, Terry L. Towards a Culturally Competent System of Care: Vol I. Washington, D.C.: CASSP Technical Assistance Center, March 1989. (202-687-8635)
- ☐ Diversity & Governance: Changing Populations and the Future of Cities and Towns. Washington, D.C.: National League of Cities, 1991. (202-626-3130)

Two manuals were used in the design of this unit. Both are useful and you will want to acquire them if you or the team plan to do further work in cross-cultural awareness.

☐ Myers, Selma and Jonamay Lambert. Managing Cultural Diversity - A Trainer's Guide, Intercultural Inc., 1991 ($47.95. Can be ordered from Cultural Diversity at Work, 206-362-0336)

☐ Simons, George. Working Together: How to Become More Effective in a Multicultural Organization, Los Altos, CA: Crisp Publications, 1989. $9.95.

The videos, "Managing Differences" and "Communicating Across Cultures," are produced by Copeland & Griggs Productions. Call 415-668-4200 for rental information.

Additional Resources:

☐ The Anti-Defamation League has a day-long training with accompanying resources, "A World of Difference," that is quite good. They have regional offices throughout the U.S. Contact the New York Headquarters at 212-490-2525 to locate one near you.

☐ The American Humane Association, Children's Division has produced an Annotated Bibliography of Resources on Cultural Competence and Cultural Diversity in Child Welfare/Child Protective Services prepared for the People of Color Leadership Institute. $15.00, American Humane Association, 63 Inverness Drive East, Englewood, CO 80112-5117.

☐ Work Force Diversity: A Bibliography available from Work in America Institute, Inc., 700 White Plains Road, Scarsdale, NY 10583. (914-472-9600.)

ATTACHMENTS

8.1 Discussion Quote Samples

8.2 Celebrating Diversity: Introduction Exercise

8.3 First Thoughts Exercise (pp. 1-4)

8.4 The Iceberg Theory (pp. 1-6)

8.5 Caucuses and Speak-outs (pp. 1-4)

8.6 Diversity Awareness Profile Questionnaire

8.7 Personal Influences Exercise (pp. 1-3)

8.8 Communicating Our Way Exercise (pp. 1-3)

8.9 Heart Transplant -- Values Exercise

8.10 The Values of American Culture (pp.1-4)

8.11 Case Study Description -- "Finding Black Parents: One Church, One Child"

Why Collaboration Is So Hard

What we have in corporate America is a structure that pits people against one another competitively and eventually condemns all but a few to achieve less than they had wanted to. This structure discourages cooperation and risk taking and nurtures empire building, self-centeredness, inertia, conformity, and employer control. It breeds fear, distrust, dishonesty, and intolerance of diversity. It allows people to point fingers at others for problems they in reality create, and it does not create an atmosphere where real problems are dealt with effectively.

Fernandez, John P. Managing A Diverse Workforce. Lexington: Lexington Books, 1991, P.33.

F6 SUNDAY, MAY 2, 1993 THE WASHINGTON POST

ANN LANDERS

DEAR ANN LANDERS:
"A Hip Cat in Virginia" wrote that he was sick and tired of hearing people claim they are "all white," as though it is a badge of honor. I share his views.

On my father's side, I am Austrian, German and Swiss. On my mother's side, I am Spanish and Aztec-Mexican. I remember vividly my sixth-grade teacher handing out cards for the class to fill out. The cards had blanks for "nationality" and "race." In that class were white, black, Asian and Hispanic children.

Next to "race," the black kids were expected to write "Negro," a word that has since fallen into ill repute. This caused a bit of a stir because it made them feel "different," as one girl explained. I was embarrassed for her when she asked, "Exactly what do they want to know?"

As for me, with such a varied background, I didn't know how to respond to the question about "nationality." When I asked, the teacher said, in a very stern voice, "You may all write '*American*' where it says 'nationality,' and '*human*' where it says 'race.' "

That teacher taught us a lot that day. When we saluted the flag, it made us feel that it belonged to all of us.

This happened in Los Angeles in the 1930s. The teacher was part Sioux Indian. She was the strictest and by far the best teacher I ever had.

I appreciated your response to "Hip Cat." You said, "I would rather concentrate on the similarities of humans instead of their differences," a sentiment that struck just the right chord. Thanks.—No Name, No City, No State

Dear No Name, No City, No State:
The positive comments about that column were heartening. Teachers from all over the continent wrote to say they were using it as a basis for class discussion. Bravo to them, and my thanks to all who wrote.

Celebrating Diversity

INTRODUCTIONS (20 minutes--depends on number of people)

For introductions I would like for each of you to stand and share your name, two positive characteristics, and your identity (gender, race, culture, class, national origin, religion--anything that you care to disclose). After which, you can add: "And I'm proud of it!"

Example: "My name is Mary Smith and I am a brilliant, loving African-American woman and I'm proud of it!" (Everyone cheers for each person.)

The first step in achieving unity and understanding is for each person to reclaim their pride in who they are. Having people clap after each introduction builds the group unity and the celebration of who each person is.

AFTER THE INTRODUCTIONS, ASK THE GROUP: HOW DID YOU FEEL DURING THAT ACTIVITY? LISTEN TO THE FEEDBACK.

THIS ACTIVITY MAY BRING UP A LOT OF FEELINGS FOR SOME PEOPLE DEPENDING ON THEIR RELATIONSHIP TO THEIR OWN GROUP IDENTITY. SOME PEOPLE MAY FEEL EMBARRASSED, SHY, SCARED, GUILTY, DEFENSIVE, ETC. IT'S NO WONDER THAT WE HAVE THESE FEELINGS BECAUSE OF THE WAYS IN WHICH WE HAVE BEEN HURT AROUND THESE ISSUES.

Note to the Trainer:

As the group leader or classroom teacher, it is important for you to model pride and self-respect and encourage others. The clapping after each introduction helps to validate each person. Young people generally love this activity because of the clapping and active participation. It really wakes them up and makes them want to know what is coming next. (Adults generally enjoy it too, after a little embarrassment and stuffiness is overcome!)

Reclaiming pride is a key component in multi-cultural unity and understanding.

Note to the Trainer:

The term "pride" is generally an empowering term for people of color, but the term can have a negative connotation for some members of religious groups, such as, Fundamentalist Christians and Moslems. If this issue is raised, it is important for the trainer to listen well and respectfully to the speaker and than explain that the term is used here to mean self respect and dignity not hautiness, "better than thou", or being "puffed up", which are indicators of low self-esteem rather than real pride. We have been systematically robbed of real pride (self respect) due to the amount of ridicule, humiliation, put-down, and disapproval that we have received. Reclaiming our pride, our self respect, is an important first step in respecting others.

UP DOWNS (15 minutes)

Another activity which encourages the celebration of diversity is called Up Downs. We will stand up with each group that we identify with and be cheered by everybody else. Remember that some groups receive so much oppression from the society that people do not feel safe to identify themselves. If no one stands up for some of these groups, don't assume that members are not present but that the oppression is so vicious that a person could be fired from their job or killed or harassed in other ways for identifying with particular groups.

Everyone stand who is female. (ALL FEMALES STAND AND EVERYONE CHEERS.)
Everyone stand who is male. (ALL MALES STAND AND EVERYONE CHEERS.)

FIRST THOUGHTS

Purpose:

Participants examine the stereotypes they have of other people. They recognize that stereotyping is unfair, becomes a barrier, and restricts accepting people as individuals.

Time :	30 - 40 Minutes
Materials:	Flip Chart on which you have written 10 - 12 groups of people. See attached example. Handout, " Definitions"

Procedure:

1. Ask participants to brainstorm three adjectives which come to their minds for each of the groups listed on the flip chart. Encourage them to say the first thing that comes to their mind. Move quickly through the list.

2. After completing the list, ask the participants their reaction to the exercise. Point out how easy it was to develop the list, yet how the words used are superficial and often demeaning.

   Ask: "How many of you censored your first thoughts?" Acknowledge how hard it is to be honest even with ourselves about the prejudicial attitudes we still carry around inside.

3. Pass out the Definitions Handout. Have the participants provide suggestions about ways to overcome labels and stereotypes. For example:

   - Recognize stereotypes for what they are and where they come from.

   - Look at each person as an individual.

   - Remain open minded and not be influenced by opinions of others.

FIRST THOUGHTS

Use the words listed below and/or others that might be more appropriate for the group. What are the first two or three adjectives that come to mind (your thoughts or traditional stereotypes). Just say your first thoughts, whether positive or negative.

DISABLED

NEW YORKERS

CALIFORNIANS

ELDERLY

HISPANICS

WOMEN

DENTISTS

WHITES

ASIANS

AFRICAN-AMERICANS

GAYS

JEWS

MEN

ARABS

Attachment 8.3
p. 2 of 4

Attachment 8.3
p. 3 of 4

DEFINITIONS

STEREOTYPES:	An exaggerated belief or fixed idea about a person or group which is held by people and sustained by selective perception and selective forgetting.
Stereotypes come from:	Incomplete, distorted information and limited personal experience & outside sources such as others' interpretations of cultural behavior.
Stereotypes are:	Natural, but often destructive because they are unfair, do not allow for individuality and interfere with communication.
PREJUDICE:	A preconceived idea or negative attitude, formed before the facts are know, and sustained by overgeneralizations. A bias without reason, resisting all evidence. Prejudice implies inferiority, leads to suspicion and is detrimental to communication and interpersonal relations.

**A BELIEF IS A FACT THOUGHT TO BE TRUE.
WITHOUT ANY KNOWLEDGE OR PROOF....**

ASSUMPTIONS

1. Culture is not good or bad; it just is.
2. Often behavior or practices that are considered to be "just the way it is" are culturally influenced.
3. One's view of the world is shaped by values, perceptions, assumptions, and expectations.
4. If people know about their own culture and heritage, they are more likely to learn appropriate cross-cultural behavior.
5. Often learning about perspectives and practices other than the ones you are most familiar with, can lead to improved ways of doing things.
6. Being different is OK and difference can be recognized, acknowledged, and cherished.
7. The responsibility for cross-cultural communication is not solely that of one particular cultural group, but is the responsibility of all groups.
8. All participants must agree to:
    - Respect each other
    - Listen carefully to each other
    - Be open and honest with each other

WHAT IS CULTURE? THE ICEBERG THEORY

PURPOSE:

The participants will understand what "Culture" is. They will review the components that make up culture and recognize that all people have their own culture. The activity also helps participants identify the stages of cross-cultural development.

TIME: 15 - 20 Minutes

EQUIPMENT: Overhead Projector
Flip Chart

MATERIALS: Flip Chart page with an outline of an iceberg
Handouts:
-"Path of Intercultural Learning"
-"What is Cultural Diversity"
-"Dimensions of Culture"

PROCEDURE:

Put Participants in groups of 3 -4. Ask them to think of 3 or 4 items which illustrate evidence of "Culture."

DEBRIEF:

1. Ask participants to report out and list their responses on a flipchart that has an outline drawing of an iceberg, being sure to place words in order of the most visible characteristics of culture at the top, and the least visible at the bottom. (See Trainer's Notes)

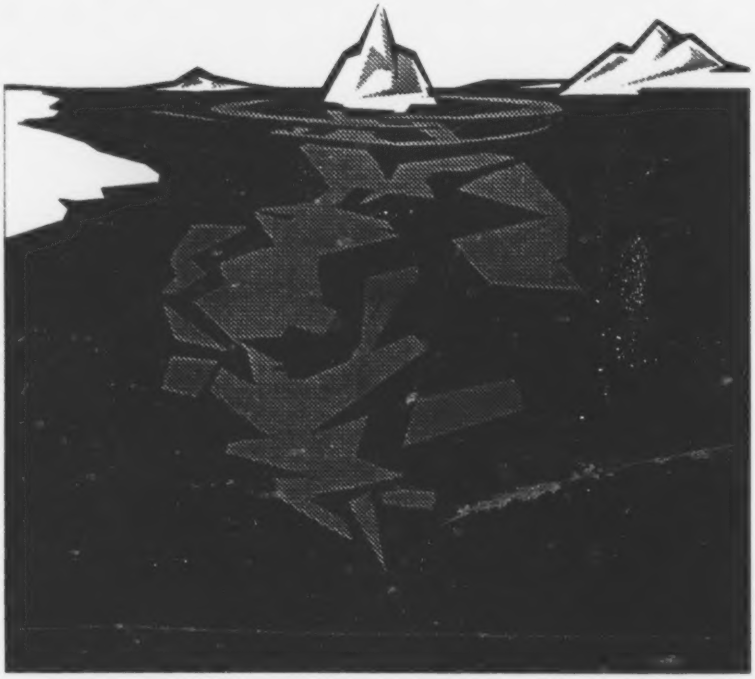
   The "What is Cultural Diversity" overhead (or handout) can be used to summarize their responses. The "Dimensions of Culture" overhead (or handout) is useful for further discussion on cultural influences found below the waterline.

2. Explain that all people begin with ethnocentricity (believing that their way is the only way) and move through the various stages on the way to multiculturation.

3. Show the transparency of "The Path" which explains the stages. On a flip chart, the following can be listed to help explain the various stages.

- "Our way is the only right way" (Ethnocentrism)
- "Wait a minute, there may be another way." (Awareness)
- "Oh, you mean there are reasons why people respond differently." (Understanding)
- "It's OK to be different." Differences are to be recognized and acknowledged. (Acceptance and Respect)
- "Diversity can enhance our lives and even be fun" (Appreciation/Valuing)
- "People can pick and choose what they like best from each culture." (Selective adoption)
- "We're no longer the melting pot, let's go for the salad bowl." (Multiculturalism)

The Cultural Iceberg



Culture is a way of life of a given society, passed down from one generation to the next through learning and experience.

Path of Intercultural Learning

Multiculturation

Selective Adoption

Appreciation/ Valuing

Acceptance/ Respect

Understanding

Awareness

Ethnocentricity

WHAT IS CULTURAL DIVERSITY?

PEOPLE DIFFERENCES

1. ***BIOLOGICAL FEATURES:***

- GENDER
- COLOR OF SKIN, EYES, HAIR
- HEIGHT & WEIGHT
- PHYSICAL & MENTAL ABILITIES

2. ***CULTURAL ATTRIBUTES***

- CUSTOMS
- RITUALS
- RULES & REGULATIONS
- NORMS
- BELIEFS
- LANGUAGE
- GEOGRAPHY
- FAMILY
- AGE
- RACE OR COMMON ANCESTRY
- ETHNICITY
- SOCIAL SYSTEMS
- ORGANIZATION

DIMENSIONS OF CULTURE

IDEAS (WAYS OF THINKING)	NORMS (ACCEPTED WAYS OF DOING THINGS)	MATERIAL CULTURE (PATTERNS OF POSSESSING & USING THE PRODUCTS OF CULTURE)
Scientific knowledge	Scientific methods and standards	Tools, medicines
Values	Laws, rewards, punishments	Law books, jail, courts
Folklore (e.g., ideas about diet)	Folkways (e.g., patterns of food preparation and serving)	Everyday items of consumption (e.g., the meal and the equipment used to serve it)

Robert Bierstedt (1963)

CAUCUSES

(45 minutes)

Prior to building group unity across group lines, it is extremely important for every person to meet with other members of their own group.

These group meetings legitimize the significance of their group. It increases a sense of safety and gives people a chance to reflect on their own experiences of mistreatment. There is power in unity. It is also healing to be able to talk about the experiences that have hurt and limited you.

Being an effective ally for the members of another group seems to first require a process of connecting to one's own early experiences with prejudice. Underlying this activity is the assumption that people had to have first been mistreated themselves before they would become the carriers of prejudicial attitudes about others. Reducing one's own prejudice necessitates identifying our own early experiences with mistreatment.

We are now going to gather in caucuses. These caucuses will be similar, self-chosen, identity groups. Examples: Jews, African-Americans, Latinos/as, Women, Men, Physically Disabled, etc.

(USE TRANSPARENCY #4.) Each person in the group gets a turn to answer the following questions:

--What's been great about being an X?

--What's been difficult about being an X? (Focus on specific incidents)

--What do you never again want anyone to think, say, do, or act toward you or any member of your group?

Note to the Trainer:

One way to organize people into caucuses is to have people brainstorm groups that they belong to that they would like to caucus with. List these on the board or flip chart. Then, as you point to the name of each group, have everybody who wishes to meet with that group raise their hand. Instruct participants to vote only once. You may need to go through the list several times marking out those groups that fail to get 2 or more votes. Ask that each caucus choose a leader to facilitate the meeting and a recorder. Encourage them to divide the time among themselves so that everyone will get the chance to talk about the questions within the allotted time.

Be sure to tell them that each caucus will get the chance to "speak out" about themselves to the large group.

CAUCUS QUESTIONS

- **What's been great about being an X?**

- **What's been difficult about being an X?**

  (Focus on specific incidents)

- **What do you *never again* want anyone to think, say, do, or act toward you or any member of your group?**

SPEAK-OUTS (45 minutes)

AFTER EACH GROUP HAS HAD THE CHANCE TO MEET, THE WHOLE WORKSHOP COMES BACK TOGETHER AND YOU PREPARE THEM TO LISTEN TO REPORTS FROM EACH GROUP.

Part of the mechanism of oppression is to keep us ignorant about each other. This ignorance keeps the barriers intact. Because of the isolation, fear, and mistrust so characteristic of inter-group relations in the past, many people have never heard, more than superficially, the emotional life experiences of people from other backgrounds.

Having spent time in the caucuses identifying our own experiences with mistreatment, it is now possible for us to be more receptive to hearing the pain of others. For the person doing the sharing, having an entire room of people listen and take seriously these experiences is usually an extremely powerful experience that can help heal the effects of years of isolation.

This speak-out has the possibility of being a very profound experience for each of us. In order to provide enough safety for everyone to speak-out, **there will be no comments, interruptions, discussions, or questions** from the listening audience during speak-outs.

RECORDERS REPORT FOR THEIR GROUP.

Note to the Trainer:

Speak-Outs can bring up lots of feelings. Speak-Outs often occur with a great deal of tears, shaking, and anger. Remember that this is a good sign. The caucuses provide the safety and group support to facilitate powerful, emotional speak-outs.

Speak-Outs can bring up intense feelings for the listeners as well. It is not unusual, after a particularly emotional speak-out to look up and find a roomful of people in tears. It is essential to take enough time to let people share what comes up for them while listening to the experiences of others. This can be done in the large group or in dyads.

The best attitude for the trainer to have during speak-outs is one of relaxed, confident, delighted attention. Even in the case of highly emotional speak-outs, project the attitude that this is exactly what needs to happen. Don't lose sight of the fact that emotional healing is what will help people begin to change their attitudes, perceptions, and behaviors. It is a necessary step in the process and not something to be avoided.

In the rare situation that a workshop participant begins to aim their hurt and distress at **you**, try to remember that this has nothing to do with you personally. Keep in mind that the person in front of you is a good person who has been terribly hurt by oppression. Listen well, validate the person's experience, and appreciate them for sharing their feelings with you. Then, focus the workshop onto the next step in the process.

Most groups, you will find, are totally relieved and delighted to at last get to tell others about what it is like for them. They will be equally eager to have the opportunity to get some real information about what it is like for other groups.

Remember that this is the "meat" of the workshop. Relax and enjoy yourself!

Diversity Awareness Profile

Trainer's Notes

OVERVIEW

The Diversity Awareness Profile (DAP) is designed to assist people in becoming aware of ways in which they discriminate against, judge, or isolate others. The term "protected class," as used in this instrument, refers to groups of people such as African Americans, Native Americans, Hispanics, Asians, women, older workers, people with disabilities, and minorities in general.

The DAP consists of forty questions to which an individual responds by indicating how often (almost never, seldom, usually, or almost always) he or she acts in accordance with the question. The instrument is based on information gathered in more than a hundred focus groups and in one-on-one interviews over a three-year period with members of protected classes. The questions include subtle things people do or do not do that lead members of protected classes and others who are diverse (e.g., different in weight or appearance) to feel humiliated, isolated, powerless, or in some way "less than" adequate.

The DAP is based on the belief that most people do not intend to discriminate against, isolate, or judge others with these actions. The purpose of the instrument is to help the respondents to become aware of their behaviors, to evaluate them, and to have an opportunity to modify them in order to be respectful to all types of people.

ADMINISTRATION

Administering and processing the DAP generally takes one and a half hours. Each respondent is given a copy of the DAP and a pencil. Either the respondents are asked to read the first page (including the instructions) silently, or the trainer reads it aloud to the group. In either case, the trainer should ensure that all respondents understand the instructions before they begin to answer the questions. The trainer should also encourage the respondents to answer every question in the instrument.

Scoring

After the respondents have circled answers to all the questions, they are asked to add the numbers inside the circles. Blanks are provided for page totals and a grand total. Each respondent compares his or her grand total to the scores on the Diversity Awareness Spectrum on page 5 and places an X in the ray of the spectrum that reflects his or her score.

Processing

The trainer asks the respondents to read the interpretation section on page 4 of the instrument and then leads a discussion based on the definitions given in the Diversity Awareness Spectrum and on the following questions:

1. What issues did the instrument raise for you? How did you feel about answering the questions?
2. What does telling jokes that are derogatory to a specific category of people do to the person telling the jokes? to those who are listening?
3. What is a stereotype? Why are stereotypes formed? What happens when you view a person stereotypically, and what mental messages do you receive?
4. How do you benefit from learning about other cultures? How does this affect your interactions with people of those cultures?
5. What did you learn or relearn today about diversity? What are some action items that you want to take back to your workplace?

The trainer records salient action steps on newsprint so that individuals or teams can copy them and take them back to their workplaces for follow up.

DAP, MANAGER'S VERSION

When the Manager's Version is administered, the discussion can include the following questions:

1. How do the "successful" people in your organization look? act? dress? How does a person have to look or act to be considered valuable to your organization? to your department? How did these values emerge?
2. How could including protected-class members in formal or informal networks help an organization?

If the trainer is qualified to discuss legal implications, the following questions could be included:

What government regulations in your country or locality are concerned with discrimination in the workplace? How do these laws apply to your work setting? What is affirmative action? How does it impact your organization? your department?

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PERSONAL INFLUENCES

Purpose:

This exercise which involves written reflection, will have the participants answer several questions concerning the major factors which influenced them most in developing their own identities.

The group will explore the variety of cultures in the U.S. today and the different perceptions of values, depending on environment, education, socialization, physical handicaps, socioeconomic, etc.

The participants will understand those factors which influenced them. They will also realize that there are similar factors which influence everyone regardless of their origin.

Time:	20 - 30 Minutes
Equipment:	Flip Chart
Materials:	Questionnaire, "Personal Influences" Chart "Influences on the Individual"

Procedure:

1. Provide the questionnaire as a handout for each participant.
2. Allow 10 minutes for each person to complete the questionnaire.
3. Form small groups and have the groups discuss those factors which have the greatest influence on individuals.

Debrief:

1. Have groups report out.
2. On a flip chart draw a circle labeled "Personal Influences" and place responses around the circle. (See page 23 as an example of the finished product. This chart could also be used as a transparency.)

Regardless of one's race or ethnicity, everyone shares the same external influences. For example, "what other people think" has more influence in group oriented cultures than in those cultures which place a high value on individualism.

PERSONAL INFLUENCES

Take a minute to reflect on some of the things which influenced you when you were growing up, and then answer the questions below.

1. Where did you live while you were growing up and how did that influence who you are now?

2. As a child, what adult had a major influence in your life?

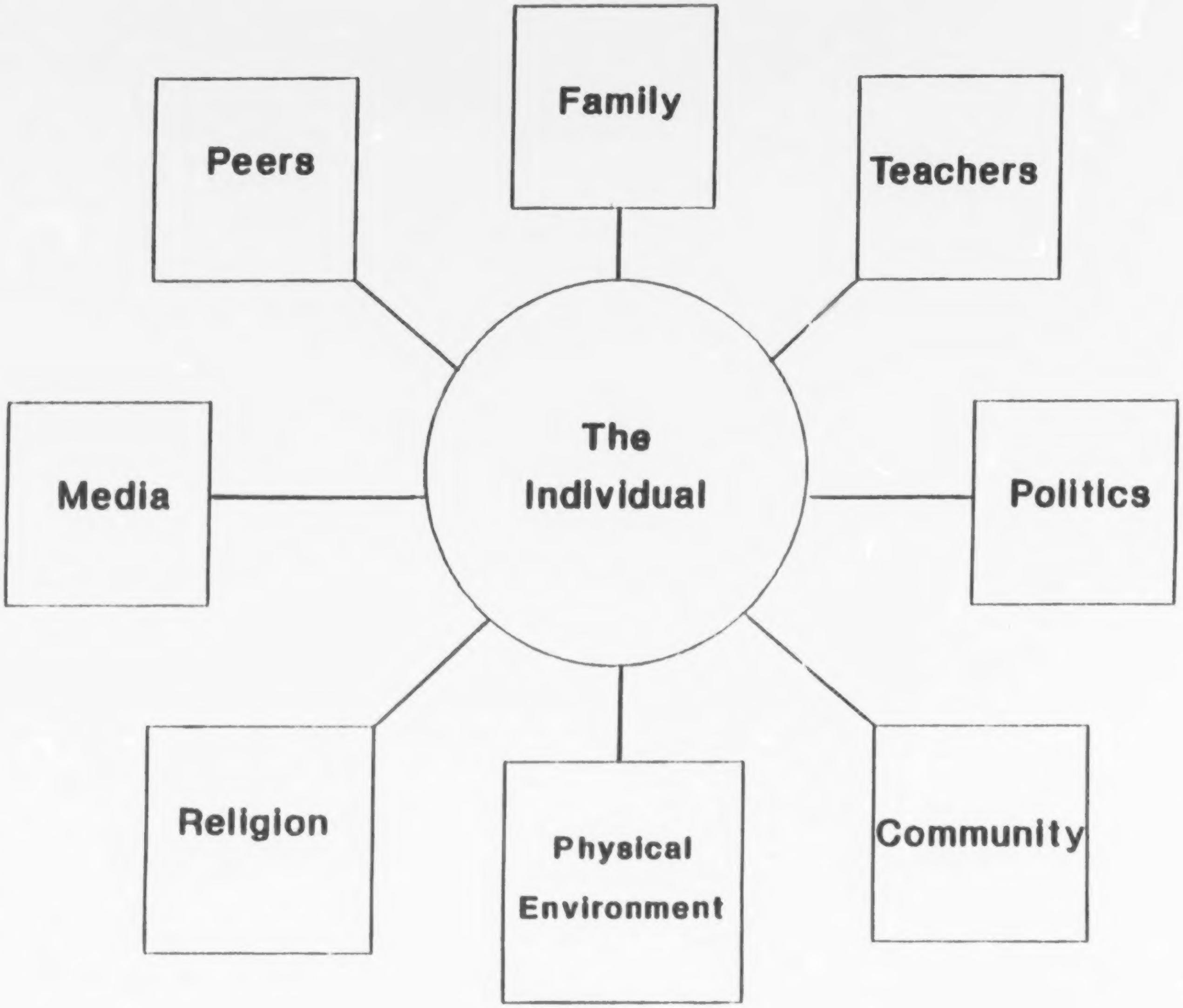
3. What do you remember most about your favorite holiday and tradition as you were growing up?

4. How would you describe the factors which influenced the Educational decisions in your life?

5. What was your first memory of an encounter with someone from another culture?

Attachment 8.7
p. 3 of 3

Influences on the Individual



The Individual

Family

Teachers

Politics

Community

Physical Environment

Religion

Media

Peers

COMMUNICATING OUR WAY

Purpose:

Participants will see that their own communication styles are influenced by culture and recognize the difficulty of communicating when the rules are changed.

Time: 45 - 60 Minutes

Equipment: Flip Chart

Materials: Instruction Slips

Procedure:

1. Make copies of Instruction Slips and cut so each participant receives one instruction, A,B,C or D.

2. Give each participant one slip, then instruct them not to share their rules with anyone.

3. Ask participants to pair up, preferably A's talking to B's and C's talking to D's. (If possible have them pair up with someone they don't know.)

4. Ask the pairs to talk to each other for two minutes, carefully following the instructions they received. Their task is to find out two new things about their partner.

Debrief:

1 Ask participants if they found the exercise easy and solicit their first reactions to the assignment.

2. List their responses on the flip chart.

3. Have one participant from each category (A,B,C,D) read his or her rules aloud to the group. As the rules are read, list the following communication issues on the flip chart:

   A Eye contact and the showing of emotion
   B. Distance and gestures
   C. Loudness and interruptions; initiating conversation and personal questions.
   D. Softness and no interruptions; not initiating conversation nor asking questions

Communicating our Way - 2nd page

4. Ask how the participants interpreted the behavior of their partners during the exercise. (For example, the person's partner who looked away felt that his partner couldn't be trusted, wasn't interested, or perhaps was bored.) It is important to recognize that there is a "mainstream" American communication style and that many different cultures bring with them their own rules and communication styles which are different.

Trainer's Notes:

The more a person understands differences in communication styles, the better communication can become. You may also suggest that matching styles can further positive communication across cultures.

INSTRUCTIONS SLIPS FOR "COMMUNICATING OUR WAY"

These instructions should be copied and cut into strips. Enough should be made so that each participant can be given one strip.

Group A Instructions

- Avoid eye-contact when speaking to your partner.
- Do not show any emotion or react to your partner when he or she is speaking.

Group B Instructions

- Stand about six inches closer to your partner than you normally would.
- Use gestures often when you are speaking.

Group C Instructions

- Speak more loudly than you normally would and interrupt your partner fairly frequently.
- Initiate conversation by asking a lot of questions (including personal ones).

Group D Instructions

- Speak more softly than you normally would and don't interrupt your partner.
- Don't initiate conversation or ask questions.

■ APPRECIATING DIVERSITY FORM A

The Heart-Transplant Experience

You are a member of a surgical team at the World's Greatest Hospital. All the patients listed below MUST receive a heart transplant TODAY or else they will die. There are only TWO hearts available and YOU must decide, from this list, which two patients will be heart-donor recipients.

1. A seventy-year-old female U.S. Senator credited with creating and protecting the nation's first National Health Plan.
2. A Hispanic ex-offender who is a very successful drug dealer. His "business" allows him to hire community youth, support his entire extended family of fifteen, and be perceived by the community as a leader.
3. An African-American Vietnam veteran and amputee who created a national training program for people with disabilities. He is under investigation for possible embezzlement of program funds to support a known gambling addiction.
4. A White fifteen-year-old female who tested intellectually "gifted." She is on drugs and supports her habit through prostitution.
5. A scientist/researcher who is known to be closely associated with a white-supremacist group and is very close to discovering a cure for AIDS.
6. An ex-Roman-Catholic priest who works with small children in a day-care center. He is a homosexual and a strong gay-rights advocate. His lover recently tested HIV positive.

Based on an activity modified by Kenneth Hawkins & Associates, Vacaville, CA.

■ APPRECIATING DIVERSITY
FORM B

The Heart-Transplant Experience Processing Questions

1. What was your initial reaction to being asked to make choices?

2. How comfortable were you in sharing your choices and reasons with your group members?

3. What factors might have prevented you from speaking freely and sharing your thoughts and opinions with others?

4. What were your choices based on?
   - actual personal experiences
   - the experiences of those close to you
   - media information
   - other source(s)

5. How close were the group's choices to your own? What were your reactions to that?

Based on an activity modified by Kenneth Hawkins & Associates, Vacaville, CA.

The Values of American Culture

In another activity entitled "Value Orientations," you assessed the general pattern of your home community's values and attitudes with respect to twenty-five basic human concerns. You also may have considered your own values with respect to those same human concerns. Probably, you found some differences between your own values and those commonly held in your community.

In this activity, you will have a chance to compare your community's value orientations with a series of statements about American culture that have been formulated by anthropologists and other scholars. These statements are the result of attempts to identify those value orientations most characteristic of the middle class in the United States. Of course, there will be exceptions to these general statements, since no culture is entirely uniform. There are differences and variations in American culture, as in other cultures, due to regional, ethnic, religious, and economic diversity. Still, such differences are probably not nearly so great as those that exist between American culture *as a whole* and any of the other cultures found throughout the world. These patterns distinguish American culture from other cultures and serve to define its nature.

Directions:

Read through the following generalizations about middle-class American culture, then attempt to answer the two questions found at the end of this activity.

I. The Individual

A. In American culture, where individualism is stressed, it is assumed that a person makes his own decisions according to his needs, desires, and self-interest. It is also assumed that the individual has the right to do as he wishes as long as he does not infringe upon the same right of others.

B. American emphasis on individualism encourages personal autonomy, achievements, and social advancement, as well as economic and social independence at an early age. Americans are encouraged to think and decide for themselves with little or no attention to outside influence or obligation.

C. Identity and self-definition in the United States are determined largely by personal achievement. Americans do not attirubte much significance to a person's ancestors, family connections, or inherited wealth.

D. Self-motivation, or the need to fulfill one's goals and develop one's skills, is the driving force behind achievement. Achievement, in turn, is readily measurable in terms of the material possessions and standard of living one is able to attain.

---

*AFS International encourages AFS staff members and/or volunteers outside the United States to use this activity as a model for developing a new one detailing the important values of their respective native cultures.

E. Americans assume that each individual is largely in control of his own life and that he is capable of achieving whatever goals he sets for himself through determination and devotion to hard work. That individuals with similar goals may have to compete actively with one another is readily accepted.

II. Social Relationships

F. Personal relationships among Americans are marked by informality and friendliness, even on short acquaintance and with people of higher social status. However, Americans rarely form deep and lasting relationships. Friends as well as membership in groups change readily as the American shifts jobs or neighborhoods.

G. Respect for the individual strengthens the Americans' belief in democracy, in which the interests or desires of each individual is expressed through his vote. That each person has one vote is an expression of the American belief in equality. The majority vote is respected by all because it represents the sum of many individual opinions.

H. The high regard for individual freedom and competition in American culture leads Americans to support the free enterprise system, in which individuals and corporations compete in the marketplace with a minimum of government regulation. The fact that most property is held privately in the United States is another expression of the regard for individual freedom.

I. Americans are action-oriented. Social gatherings stress events, activity, and talk. In general, Americans keep busy and value getting things done, and they often make judgments on a pragmatic basis (that is, by asking "Does it work?") Finally, Americans are highly conscious of the passage of time and will often go to considerable lengths to avoid "wasting" it.

III. Nature and the Supernatural

J. Americans strongly believe that the natural world is understandable through reason and the methods of science, and that nature is rightly exploited and controlled for the benefit of human beings.

K. Americans are dedicated to progress, which they view primarily in terms of the increasing capacity of humans to produce material wealth and economic abundance. Americans believe that the good things in life are available to all who will strive to attain them.

L. Americans are strongly oriented toward the future. Tradition, though not ignored, plays a minor role in American life.

M. The Protestant religion has played a major role in shaping American culture. The old belief that "God helps those who help themselves" continues to live in the common assumption that those who work hard will be rewarded by the fruits of their labors.

Questions:

Do you feel that the above statements accurately reflect the values found in your home community? If not, point out the differences and attempt to explain why people in your community feel as they do.

Do you feel that the above statements accurately reflect *your* values? If not, which statements do you disagree with? Why?

Value Orientations

When we take a broad and sweeping view of human life on this planet from prehistoric times to the present, we might conclude that all people in all cultures have certain basic concerns. These are universal problems involving the way people view themselves, their relations with others, and their relation to the world in which they live. These concerns, along with the need to secure the basic means of biological survival (food, clothing, and shelter), are features of the human condition that are common to all people everywhere.

If we consider the basic human concerns, we realize that each concern has a number of possible solutions. For example, think about these three concerns: How should the individual conceive of himself? How should control and use of land and other property be arranged? And how should humans perceive their overall relationship with nature? With respect to the first concern, an individual may identify himself as a free and independent person, or as an individual subordinate to a larger social group, or as part of his family or clan from which he derives his identity and to which he owes complete allegiance. Concerning the second problem, property can be privately-owned, or communally-owned, or it can be assumed to belong to someone only at those times when he or she is actively making use of it. And regarding the last example, humans can think of themselves as controlling nature, or in harmony with nature, or at the mercy of nature.

All cultures in all times share these and other basic concerns. *What distinguishes one culture from all others is the way in which it responds to these concerns.* Every culture develops its own integrated pattern of responses, reflected in the way its people think and act. These responses are called *value orientations.* The value system of any given culture tremendously influences the outlook of its individual members, since it is shared in varying degrees by all the people of the culture.

One way in which you can gain a more thorough understanding of yourself and your culture is to determine your culture's basic value orientations. This may not be easy. Various individuals, interest groups, and subcultures within your society may disagree about one or more value orientations. Nevertheless, when you consider your native society *as a whole*, you should be able to describe its culture *in general* using one of the value orientations associated with each of the basic human concerns. The same process, of course, can be used to describe the culture of any special interest group or subculture within your society, or any other whole society. Then the basic differences between them can be more readily seen and compared.

> *"Reality happens to be, like a landscape possessed of an infinite number of perspectives, all equally veracious and authentic. The sole false perspective is that which claims to be the only one there is."*
>
> Jose Ortega y Gasset

Finding Black Parents: One Church, One Child

(20pp + Video Exhibit)

HARVARD CASE STUDY
Kennedy School of Government
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Can be ordered by calling (617) 495-9583
C16-88-856.0
C16-88-856.9

In 1980, the Illinois Department of Children and Family Services faced a crisis: over 700 black children in Cook County, including 69 infants, waited for adoption while the agency was unable to find black parents. Director Gregory L. Coler, with his deputy Gordon Johnson, approached Father George Clements, a black activist Chicago priest in the Baptist community. From those meetings came One Church, One Child, a plan to use pastors of the black churches as spokesmen to reach the community. Coler and Johnson faced several hurdles as they asked a private religious institution to help solve a public agency's problem. They had to change negative attitudes both in the black community, which had grown to distrust the state agency, and among a staff suspicious of change who would implement the black adoption program. They had to revamp state laws that inhibited the adoption process. And they had to change bureaucratic procedures that had proven ineffective.

The accompanying video exhibit brings to life the successful strategy of the One Church, One Child program, focusing on a presentation in a black church designed to encourage adoptions. In addition, the video includes retrospective comments from the program's administrators and vignettes of families who have adopted children as a result of the program.

This case will challenge students to examine the assumptions that limit bureaucracies.

TEAM BUILDING

Understanding and using team development techniques.

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GOAL

To understand and use team development concepts.

Team members build trust, examine member roles and responsibilities, and practice collaborative problem solving through group discussions, surveys, and interactive exercises.

OVERVIEW OF CRITICAL EVENTS

☐ Team commitment and trust are explored by team members doing a Trust Roll, and completing a Team Effectiveness Critique.

☐ Roles and responsibilities are examined when team members brainstorm Team Member Characteristics, complete a Team Player Survey, identify ineffective behaviors, and review MBTI preferences.

☐ Collaborative problem solving is practiced in three activities: Making Something, Airmail Egg Carton, and Group Leadership Questionnaire. Group process is then examined through MBTI-related exercises.

TODAY'S OBJECTIVES

☐ To understand team dynamics and membership.

☐ To learn the attributes of effective teams.

☐ To analyze individual team member leadership skills.

☐ To explore team functioning through problem solving.

☐ To examine the effectiveness of team member roles.

RESOURCES

Books:

☐ Reddy, W. Brendan and Kaleel Jamison, Eds. Team Building. San Diego, CA: Pfeiffer & Company, 1988.

☐ Rees, Fran. How to Lead Work Teams: Facilitation Skills. San Diego, CA: Pfeiffer & Company, 1991.

Articles:

☐ Battaglia, Beverly. "Multicultural Team Building: Avoiding Mistakes," Cultural Diversity at Work. Vol.5, No.4, March 1993, p. 5.

☐ Carson, Neill. "The Trouble With Teams." Training. August 1992, pp. 38-40.

☐ Kofodimos, Joan R. "Teamwork at the Top: The Need for Self-Development," Issues & Observations. Center for Creative Leadership, Vol.11, No.1, 1991.

☐ Maeroff, Gene I. "Building Teams To Rebuild Schools," Phi Delta Kappan. Vol.74, No.7, March 1993, pp.512-519.

☐ Sisco, Rebecca. "What To Teach Team Leaders," Training. February 1993, pp. 62 - 67.

Effective teams don't just happen; their members have to learn and use a variety of skills. -- Team Building

FACILITATOR'S NOTES

Team building can be used to help a group clarify its objectives, improve operating procedures, ease the strains of interpersonal friction, and help members work together effectively.

This unit will concentrate on building participants' knowledge about teams and then putting that knowledge to work. Specifically, 3 key aspects of team building will be explored:

- Team commitment and trust;
- Roles and relationships; and
- Collaborative problem-solving.

These 3 team building aspects are not only crucial to successful team efforts, they also reflect 2 CLP objectives that CLP participants will:

- Work together to design a collaborative strategy for solving a community need; and
- Use their new leadership skills to implement collaborative initiatives in their work and communities.

To do this, participants will need to work together as a team and know how to build trust, identify and work with people with different skills and knowledge, and be skilled in group work and problem solving.

This unit, like all the others in Part II, Mastering the Essentials, can be scheduled at any time. We suggest you consider placing Team Building early in the schedule. The benefits: a group that understands and uses the concepts of good team development.

Diamonds (◆) mark critical events usable in any sequence based on participants' needs and interests.

Tell team members to dress comfortably and casually. Some of the activities are active; a few have the potential for being "messy."

Homework: Assign the 5 articles listed under resources for homework reading. The books are excellent follow-up resources.

If you use the "Parker Team Player Survey," have team members complete the entire booklet (including "Develop A Plan") prior to the session.

Four of the exercises require team members to know their Myers-Briggs Type Inventory (MBTI) preferences. If only a few do not know their preferences, consider using the MBTI Self-Scoring Form G.

CRITICAL EVENTS

Trust is necessary to have a productive working environment.

COMMITMENT AND TRUST

Below are 3 activities that will help team members develop team commitment and trust. Usually, these two qualities are best developed through continuous activity and association. Thus, you will need to stress these qualities as team building elements in all of this unit's activities.

◆ **Trust Roll**

Objective:

- To have fun while learning about trust.

  This exercise is based on the Trust Fall, but is more flexible. Use the trust fall if you have access to a good outdoor site.

  Divide the team into groups of 6-8. Tell them to sit cross-legged in a tight circle, knees touching. One "volunteer" is selected from the group to stand in the center, arms crossed over chest. Using a clean handkerchief, blindfold the "volunteer."

  Remind those sitting on the floor to keep their arms loose and flexible, not rigid. The person in the center must keep his/her body rigid. (You must carefully observe the groups to check these 2 safety tips.)

The "volunteer" is then rolled around the circle by falling and being pushed up. Continue changing the person in the middle until everyone in the group has had a turn.

After all team members have had a turn, ask them to consider the following questions:

- -- What did you learn about yourself and trust?
- -- What behaviors did you observe in your team members (fear, trust, risktaking, support, encouragement, etc.)?
- -- Is this experience important to team building? How?

◆ **Four Questions**

Objectives:

- To help the group coalesce as a team.

This activity is very effective in helping a group coalesce into a team. If the group is large, consider having team members work in small groups before reporting to the entire group.

Team members reflect individually on the four questions, then share their responses with others. Chart on newsprint.

- -- What should we call this group? (Relate it to your vision for this group.)
- -- What is your biggest fear about this group?
- -- What do you have that is unique to offer to this group?
- -- What are you willing to give up to join this group?

You (or a team member) record the responses on newsprint noting similarities. Summarize the responses and elicit consensus from team members.

◆ **Team Effectiveness Critique**

Objectives:

- To inventory the factors that lead to effective team development.
- To help team members see how they and their colleagues view the team's developmental status.

One facet of trust is to establish common ground among group members. This survey helps team members consider and share their assessment of the group's status as a team.

Ask team members to complete and self score **The Team Effectiveness Critique** (Instrumentation Kit, University Associates). You will need to assist them in completing the team score by tallying individual scores for the group on flip chart paper.

In small groups (3-4), have team members discuss the results. Questions to consider:

-- What are the similarities and differences among your answers? Why?
-- What do we need to do to improve (if low score)?
-- How can we be sure to maintain our team effectiveness (if high score)?

After 20 minutes, have the groups report their discussion to the entire group. Note responses to the last 2 questions, and put them on flip chart paper. Then pass out the article by Mark Alexander, "Team Effectiveness Critique" as resource reading.

To close: Explain that "trust depends on how the leader and members treat one another. When something happens to break that trust (a commitment not met, a confidentiality betrayed, dishonesty) it can be difficult to retrieve. Everyone will need to try to do those things that will build and maintain trust." (See Fran Rees, How to LEAD Work Teams, pp.38 - 41.)

ROLES AND RESPONSIBILITIES

Within effective teams, each member plays an assigned role using his or her talent to the best advantage. -- Team Building

◆ **Team Member Characteristics**

Objectives:

- To describe the qualities of effective team members.
- To compare your criteria for effective teams with those of other team members.

Ask team members to list (individually) the general qualities they believe an effective team member must have. Once their list is complete, ask them to rank order the items with 1 representing the most important quality.

Divide the group into teams of four. Instruct team members to reach consensus in their group on the top 10 most important qualities of an effective team member.

Ask each group to present the first 5 on their list. When all the groups have presented, note the similarities and differences. Explore the assumptions, values, and attitudes associated with the group's selection. Then hand out the **Characteristics of Effective Team Members** (p.91, 25 Activities for Teams). Review the team's top five with those on the list. If differences exist, does the team agree or disagree? Why?

◆ **Team Player Survey**

Objectives:

- To identify your team style.
- To assess your current strengths and plan for increasing your team member effectiveness.

Ask team members to complete the **Parker Team Player Survey** and score their results. Note: Consider assigning this as homework to save session time.

Draw the four quadrants (Communicator, Collaborator, Challenger, and Contributor) on a flip chart. Ask team members to write their primary and secondary style on "post-its" and attach in the appropriate place on the chart. Facilitate a discussion by having the team look for patterns of style to pinpoint strengths and diagnose potential trouble areas.

Team members can share their individual plan by using "Develop a Plan" (working in small groups) to close this activity, or include it in the next activity.

See Xicomments reprint article, **Parker Team Player Survey Increased Team Productivity** (Attachment 9.1) and the **Five Stages of Group Development** (pp. 99-103, Theories and Models in Applied Behavioral Science, Volume 3) article for more information. These can be handed out as additional resources.

◆ **Becoming Better Team Members***

Objective:

- To identify one behavior (exhibited in the group) that you would like to change.

Begin this activity with the following comments:

We have examined how we see ourselves as part of a team and how others see us. Now that we have this information, we can identify behaviors that do not support effective team development. This may be difficult for some of you.

Let's ask ourselves 2 questions. The first is the 3rd question from your "Team Survey Plan" (see preceding activity).

-- My potential for becoming an ineffective team player shows in the following ways or situations.

Ask team members to compare their "ineffective behavior" to the list provided in **Group Behaviors** (Attachment 9.2). Revise the list to include others suggested by the team.

---

*Adopted from: Navamaga, Overseas Education Fund, Washington, D.C.

Then ask the team to consider the next question:

-- How can I change to become a better team member?

Next ask if anyone would like to share their "hoped-for change" with the group (don't force anyone). If the group is large, you might consider working in smaller groups first. Ask team members to list one concrete step they will take to help them change.

Close the activity by sharing the attached **Guidelines for Becoming Responsible Team Members** (Attachment 9.3).

Option: Try establishing groundrules for team effectiveness. Depending on which activities completed, the group has several lists outlining effective team characteristics. Work with the group to devise their own groundrules for effective team behavior and maintenance.

Note: The Myers-Briggs Type Indicator (MBTI) is very effective in assessing team member roles and characteristics. A Team Building Handbook is available from Consulting Psychologists Press that you may want to consider using. Below are 2 MBTI-related activities from Using the Myers-Briggs Type Indicator in Organizations (2nd edition). Team members need to know their MBTI preferences for the following activities. These are also good exercises in preparation for the next section -- Problem Solving.

♦ Influencing Others

Objective:

- To understand how to communicate more effectively to others.

Arrange team members in type-alike (ST, SF, NF, & NT) groups. Ask the groups to answer this question: What would convince you to fully cooperate on an important project? Ask each group to record the information on a flip chart.

After 15 minutes, ask each group to report its results to the entire group.

Lead a discussion noting similarities and differences among the group reports. Summarize by presenting the **Communications overhead** (RM 53, Using Myers-Briggs Type Indicator in Organizations). This exercise helps people learn how to communicate with one another and, as a result, be more persuasive with their teammates.

◆ **Like and Do Well**

Objective:

- To analyze the aspects of a task that an individual likes, does not like, does well, and does not do well.

In type-alike (ST, SF, NF, & NT) small groups, ask participants to complete the **Like and Do Well Grid** (RM 60, Using Myers-Briggs Type Indicator in Organizations). Ask the small groups to develop a composite list on flip chart paper.

When the groups finish, ask them to share their responses with the entire group. Compare the responses within similar groups and the differences in opposite preferences. (I.e., do they like and do well at similar kinds of activities?)

COLLABORATIVE PROBLEM-SOLVING

Calling a group a team implies that it has a particular process of working together. -- Team Building

Of the next 5 activities, the first 3 give team members a chance to complete tasks or solve problems, and the last 2 aid in understanding the processes used. Based on the team's effectiveness, you may want to give the team more practice and less analysis, or some of both.

◆ **Making Something***

Objective:

- To practice working together and observing each other at work.

Materials needed: 2 sets of materials, each containing six bags. Bag No.1, sticks; Bag No. 2, string; Bag No. 3, stones; Bag No. 4, glue; Bag No. 4, scissors; Bag No. 5, clay or Play Do; Bag No. 6, a large piece of paper (newspaper or flip chart paper); "observer" name tags. Note: Bag No. 4 with the scissors should contain a note reading "Borrow glue from the other group."

Divide team members into small groups of 6 members each. Remaining participants will serve as observers (minimum 2 for each group of six). Explain the following:

-- Each person will be given a bag.
-- The groups will have 20 minutes to make something together; you can make anything you like and work together anyway you choose.
-- You can talk to one another, but not to the observers.

As the "making something" groups are gathering around 2 tables at opposites ends of the room, or in separate rooms, you meet with the Observers and explain:

-- Your job is to watch **how** each group works together. How do they decide what to do? How do they cooperate?
-- You may not talk to the members who are "making something."

Give each person a bag. Tell them to open their bags and begin. Remind them they have 20 minutes to make something.

After 20 minutes, stop the groups, even if they have not completed a creation. Bring all the participants back to the circle for a discussion. Have each group show what it made, or began to make.

*Adapted from Navamaga.

Begin the discussion by asking the following questions of the observers:

-- How did the group decide what to do? Who made the decision? How? Did the group have a leader?
-- Were all the resources used? Why or why not? Did all group members contribute their resources and ideas?
-- What difficulties did the group members have in doing the task? How were they resolved? How could they have been avoided?
-- What happened when Group A tried to borrow something from Group B?

Next ask the participants:

-- What happened in your group? Were you able to complete the task?
-- How did you feel? Satisfied, frustrated? Why?

As the observers and participants speak, record the ideas and comments expressed for cooperating, effectively using resources, and making group decisions. Share your own observations along with the other group members and give your suggestions about what made the group's work effective.

◆ **Airmail Egg Carton***

Objective:

- To focus on creativity in problem solving and explore collaboration vs. competition.

You may want to use this exercise as an icebreaker to start the session or at the end to integrate the learning concepts presented during the day.

Materials: Odd materials like balloons, masking tape, string, coat hangers, plastic straws, margarine tubs, plastic shopping bags, pencils, rubber bands and eggs.

*Adapted from The Executive Ventures Group, Denver, CO.

Divide the entire group into 3 or more groups of 3-5 people each. Develop a storyline to provide a rationale for the activity. Example:

> "To expand business opportunities in an increasingly competitive market your company wants to enter a bid on special packaging for very fragile and delicate medical supplies. Because these items are required to be medi-vaced via car, plane or helicopter they must be able to withstand violent jolts without being damaged.
>
> Each group must design and build a container that will protect an egg from breaking when falling from some height. As the proposal is due tomorrow, you have only 30 minutes to come up with a design. Ask each group to name their product and estimate its chances for success."

The containers, once designed, are taken to a "testing site" (roof or balcony of a building, down a stairwell, off the top of a tall ladder, etc.) and launched by a representative of the group while the rest wait below.

Note: Check the testing area for potential hazards, like poor landing area with wires, cars, people, or other obstructions below. You may need to cordon off an area with rope or chairs to create a safe landing zone.

Options: Give each group a different set, or unequal amounts, of resources to stress competition vs. collaboration. Or keep all materials in a central place, and each group must select their materials. You can also establish an award system: every group's egg must remain unbroken for the team grand prize to be awarded; prizes for the most materials, or least materials used with the egg unbroken, etc.

Discussion questions:

- -- Describe your creative process. What did you do well?
- -- Did everyone take part in building the carton?
- -- Did everyone feel involved? If not, why not?
- -- Was this fun? What made it fun?

Other learnings: Brainstorming ideas and building on each one will produce better solutions faster than judging each idea when presented. Smaller working groups allow for greater interaction. Competition is not always conducive to creative work environments.

Group Leadership Questionnaire

Objective:

- To explore techniques for managing or leading groups.

The **Group Leadership Questionnaire** (Instrumentation Kit, University Associates) can be used in 1 of 4 ways:

-- As a questionnaire, with team members responding to scenarios and tallying their results, then discussing;
-- In small groups, discussing some of the scenarios and devising solutions;
-- As a role play with group members assigned to act through the suggested solutions; or
-- Combinations of the above suggestions.

How you choose to use the materials will make for a productive discussion on group and team process management.

Teamwork Process

Objective:

- To understand some of the process issues related to completing a task.

Have team members individually complete the **Teamwork Process questions** (RM 55, Using Myers-Briggs Type Indicator in Organizations).

Assemble the group in small groups by MBTI temperament (SJ, SP, NF, & NT) to share their data. Once the questions are completed in the small groups, report the data with the entire group.

Compare the results to the information on **Work Styles According to Temperament overhead/handout** (RM 52, Using Myers-Briggs Type Indicator in Organizations). Each team member must consider both task (getting the work accomplished) and process (how the work is accomplished) issues when team building.

◆ **Team Task Analysis**

Objective:

- To use MBTI data to analyze working relationships.

Ask each team member to complete **Team Task Analysis questions** (RM 58, Using Myers-Briggs Type Indicator in Organizations).

Divide into type-alike (ST, SF, NF, & NT) groups to share their responses to the questions.

Ask them to then share their group results with the entire group.

Noting the differences and similarities, explain that working as a team sometimes creates friction between team members. Type preferences can be a useful framework for analyzing their differences and working together to consider strategies to improve their team effectiveness. Use the **Problem-Solving Model handout/overhead** (RM 56, Using Myers-Briggs Type Indicator in Organizations) for the discussion.

To conclude the Problem Solving activities, you may want to pass out the **Conditions Which Support Effective Problem Solving By Teams checklist** (p.41, Team Building, Crisp Publications). Ask team members to review based on today's experiences and learnings. Any comments?

WRAP-UP

Two suggested wrap-up activities are below. Use one of the two, or both.

◆ **Eight Key Questions**

Pass out the handout **Eight Key Questions** (Attachment 9.4). Ask team members to review and respond as a group to the following:

-- Think about this team and today's activities as you answer these eight questions.
-- Next, think about your work. How would you answer these questions for a work team you are currently on, or a team you would like to start (say for your CLP project)?

You, or a team member need to facilitate this discussion and record the

You, or a team member need to facilitate this discussion and record the responses on flip chart paper. Even though responses to the second question may be vague, push team members to give them some thought.

- **Collaboration = Team Building Power**

Pass out **Collaboration as a Source of Power in Team Building handout** (p.45, Team Building, Crisp Publications). After team members have reviewed it, ask them:

- -- Do you agree or disagree with these statements?
  Why or why not?
- -- Would you add to them? What?

And finally, hand out materials and resources for the next session.

FEEDBACK FORM

IEL needs your feedback on the Facilitator's Guide to keep us on the cutting edge of training collaborative leaders. Please take a few minutes to reflect on this unit, the team members' reactions, and your suggestions for any changes. Thank you for answering the questions below and returning the form with your day's agenda and list of resources used. **Please fax them to Wendy Russell at 202-872-4050.** THANK YOU!

1. Which activities were most effective? Why?

2. What would you do differently, if you repeated this unit? Why?

3. Which resources did team members find useful, relevant?
   Did you supply additional ones? If so, what?

4. What were the team's key learnings?

5. What were your key learnings?

6. Other comments or suggestions?

FACILITATOR'S GUIDE TO RESOURCES

The following books can be found at local bookstores or ordered from the publisher:

- ☐ Reddy, W. Brendan and Kaleel Jamison, Eds. Team Building. San Diego, CA: Pfeiffer & Company, 1988. (800-274-4434)
- ☐ Rees, Fran. How to Lead Work Teams: Facilitation Skills. San Diego, CA: Pfeiffer & Co., 1991. (800-274-4434)

An additional Bibliography for Teams is attached.

The following articles are available at university libraries or from the publisher:

- ☐ Battaglia, Beverly. "Multicultural Team Building: Avoiding Mistakes," Cultural Diversity at Work. Vol.5, No.4, March 1993, p. 5. (206-362-0036)
- ☐ Carson, Neill. "The Trouble With Teams," Training. August 1992, pp. 38 &40. (612-333-0471)
- ☐ Kofodimos, Joan R. "Teamwork at the Top: The Need for Self-development," Issues & Observations. Center for Creative Leadership, Vol.11, No.1, 1991. (919-288-7210)
- ☐ Maeroff, Gene I. "Building Teams To Rebuild Schools," Phi Delta Kappan. Vol.74, No.7, March 1993, pp.512-519.
- ☐ Sisco, Rebecca. "What To Teach Team Leaders," Training. February 1993, pp. 62 - 67. (612-333-0471)

The Parker Team Player Survey can be ordered from:

XICOM Inc., 800-759-4266; $5.50 each

Other resources used can be ordered from the publisher or found in university libraries:

☐ Alexander, Mark. "The Team Effectiveness Critique," Instrumentation Kit (TEC-1-7) San Diego, CA: University Associates, Inc. (800-274-4434)

☐ "Characteristics of Effective Team Members," 25 Activities for Teams. San Diego, CA: Pfeiffer & Company, 1993, p.19. (800-274-4434)

☐ Hirsh, Sandra Krebs. Using the Myers-Briggs Type Indicator in Organizations. Workshop Leaders Guide. Palo Alto, CA: Consulting Psychologists Press, 1991. (800-624-1765)

☐ Maddux, Robert B. Team Building: An Exercise in Leadership. Los Altos, CA: Crisp Publications, Inc., 1992. (800-442-7477)

☐ Svendsen, Dian S. and Sujatha Wijetilleke. Navamaga: Training Activities for Group Building, Health and Income Generation. Washington, DC: Overseas Education Fund, 1983. (202-822-7850)

☐ Wile, Daniel B. "Group Leadership Questionnaire," GLQ(GTQC)1-18 Instrumentation Kit. San Diego, CA: University Associates, Inc. (800-274-4434)

ATTACHMENTS

9.1 Parker Team Survey Xicomments, “Parker Team Survey Increases Team Productivity”

9.2 Group Behaviors Handout

9.3 Guidelines For Becoming Responsible Team Members Handout

9.4 Eight Key Questions Handout

XICOMMENTS

Focusing on Personal, Professional and Organizational Development

Vol. III, No. 1 Winter 1993

Client Focus

Parker Team Player Survey Increases Team Productivity

Kelly Scott Petrock, General Systems Consulting Group Consultant
Eilene M. Ennis, Director of Project Development

Organizations shifting to team based management find that the members of their newly formed teams require an awareness of the components of group dynamics, and their own psychology and teraction patterns. This area is metimes overlooked in the excitement of implementing a new system that includes massive changes for the entire organization. Problem solving, TQM, and other similar processes are vital, but do not replace team building and an understanding of group dynamics. Over the past twenty years, we have used a number of simulations, surveys and exercises to expand the awareness of both teams and individuals.

A recent team dynamics/team building session for a group of engineers underscored the importance of group dynamics and personal interaction patterns. The team had been working together for some time, but had as yet received no team dynamics/team building education. Consequently, the roup was stalled in an early, and ss productive, stage of team evelopment. Members, using the *Parker Team Player Survey (PTPS)*, had the opportunity to address initial team development questions: "Who are these people and what can I expect from them?" They gained both self-awareness, and an understanding of others that increased the level of trust and helped the group to move into the next stage of development. The *PTPS* allowed members to first evaluate themselves, and to constructively explore the strengths and limitations they brought to the team. It also allowed the group to provide feedback to each individual. There were a considerable number of "Aha's" as the group began to understand why they were experiencing so much turmoil.

Our team dynamics process, loosely based on the Tuckman model of team development, takes teams through experiential learning of the Forming, Norming, Storming Producing, and Ending stages. We apply the *Parker Team Player Survey* in two ways, depending upon the developmental stage of the team. Newly formed, or stalled teams use the survey to address the issues previously mentioned. This is also beneficial for introducing team interactions – the combination of attending to a task and relationships that are vital to productive

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Xicom Author to Speak to European Executives

Ralph H. Kilmann, Ph.D., author of several Xicom products including the recently released *Workbook For Implementing The Five Tracks* and the bestselling book *Managing Beyond The Quick Fix* published by Jossey-Bass, will be a member of the prestigious international faculty that will address European executives in May. The Total Quality Management Conference will be held in London on May 10th and 11th. It is sponsored by the Management Centre Europe which is the European headquarters of the American Management Association International.

Dr. Kilmann's presentation "Why Total Quality Management Approaches Fail and What Can Be Done About It" will be based on his experience on the common pitfalls encountered when implementing Total Quality Management. He will discuss why TQM systems (culture, skills, teams, strategy-structures) must first support TQM processes (describing, controlling and improving

see European Executives, page 5

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teamwork. In addition, we look at the responsibility of each team member to function as both a member and leader. Teamwork requires everyone to develop the capacity to both provide leadership, and accept direction and productively contribute.

Mature and highly productive teams who have reached a significant level of trust are capable of additional development. Opening the feedback loop to directly provide each other with information about strengths and limitations is a valuable asset. These teams have generally worked together for a long time, and are likely to be an intact team for the foreseeable future. Feedback at this level contributes in a deeper way to the personal development of ie members, and to the cohesiveness of the group. Members are willing, if not initially comfortable, with saying directly to a member, or to the leader, "When you do X, I feel that it negatively affects our team by..." Conversely, they have the ability to provide praise in a clear and comfortable manner. Groups in the early stages of development are unable to function at this level.

Highly productive teams can use the primary and secondary style delineations to evaluate the impact of the member styles on their teams' capacity for diversity, decision making, cohesiveness, and ability to manage conflict. Through this process, teams discover that diversity in their interaction styles is vital to producing a variety of ideas for solving problems; that it icreases creative thinking; and improves the quality of decision making. The uncomfortable aspect of diversity is that it raises anxiety levels around conflict, which teams perceive as negative. Teams, often ineffectively, try to increase their "homogeneousness" in an effort to avoid conflict. Consequently, it is vital for the teams to receive education and practice in constructively managing conflict so that it becomes a productive tool instead of a frustrating, negative cycle.

Before closing the Survey process, we have each individual write his/her primary and secondary style on "post-its". These are attached to a chart pad that is divided into four quadrants with the titles Communicator, Collaborator, Challenger, and Contributor. (A similar chart is included in the booklet.) Then we have the participants turn to the Primary Styles section of the booklet. After all the "stickies" are attached, we have the team look for patterns of styles. This allows the team to diagnose trouble areas. For example, a team with a predominance of Challengers may have an accurate perception of where they stand with a project, but not of the overall goals, or timelines. If a team has a large number of Collaborators, they may experience difficulty in confronting each other, or may lack an awareness of the incremental steps needed to work on a task.

Where there are voids in Team Player Styles that negatively affect a team, it is possible to assign those roles to various members. This provides the needed balance to keep the team moving forward effectively.

We have noticed interesting patterns in Styles as we work in various geographic areas, and with

continued on page 5

Team Productivity

continued from page 2

different team configurations. Areas where polite interaction is valued and is a norm seem to have a large number of Collaborators. Areas where directness and open communication are the norm tend to have a larger number of Challengers and Contributors. We have also noticed within teams that Engineering teams seem to have more Challengers and Contributors. Human Resources Departments appear to have more Communicators and Contributors. It is also interesting to note that Communicators, people with a strong group process orientation, are the least represented within most manufacturing teams that we have taught.

The *Parker Team Player Survey* can be used successfu[illegible] with a variety of teams in diff[illegible]t stages of development – process management, workforce, cross-functional, departmental, etc. It is also applicable at all levels of the organization – production, union, management, engineers, finance, support, and information systems. Used as a part of a larger process to expand understanding of group and interpersonal dynamics, the *Parker Team Player Survey* is a tool that functions successfully in both newly formed, and mature teams.

Becoming Better Team Members

GROUP BEHAVIORS

- I try to get things started.
- I sit back and wait for other to lead.
- I interrupt others
- I daydream and think of other things.
- I try to support others.
- I often criticize others.
- I usually feel superior to others.
- I usually feel inferior to others.
- I often contradict, disagree, and argue with others.
- I usually agree with everything.
- I don't speak up in a group, but talk behind people's back later.
- I don't like to lead because others may criticize me.

Adapted From: **Navamaga, Overseas Education Fund.**

Attachment 9.3

Becoming Better Team Members

GUIDELINES FOR BECOMING RESPONSIBLE TEAM MEMBERS

1. Limit our talking time (each of us is entitled to a share, but we must remember that we are not the only ones in the group).
2. Do not interrupt others while they are speaking. A good way to do this is to leave 5 seconds after each person has spoken.
3. Actively listen to others. (Listen so carefully that you can repeat what they will say next.)
4. Respect others' right to remain silent if they wish, but try to draw them into the conversation by asking them questions or asking their opinion.
5. Try to be encouraging rather than dominating.
6. Try to offer constructive -- not destructive -- criticism. Remember that it's better to build each other up than to tear each other down.
7. Try to accept other's opinions even when you don't agree with other's ideas.
8. Try to support others if they are being criticized unjustly or verbally attacked.

Adapted From: Navamaga, Overseas Education Fund.

TEAM BUILDING

EIGHT KEY QUESTIONS

Ask these Eight Key Questions each time you are thinking of establishing a team:

1. What are the important values shared among the team players, and between the team and myself, that will support teamwork?

2. What do the team members need from each other to accomplish these goals?

3. Why do the team members need each other to accomplish these goals?

4. What will create genuine commitment to the team's goals?

5. What are the specific objectives by which the team's success will be measured?

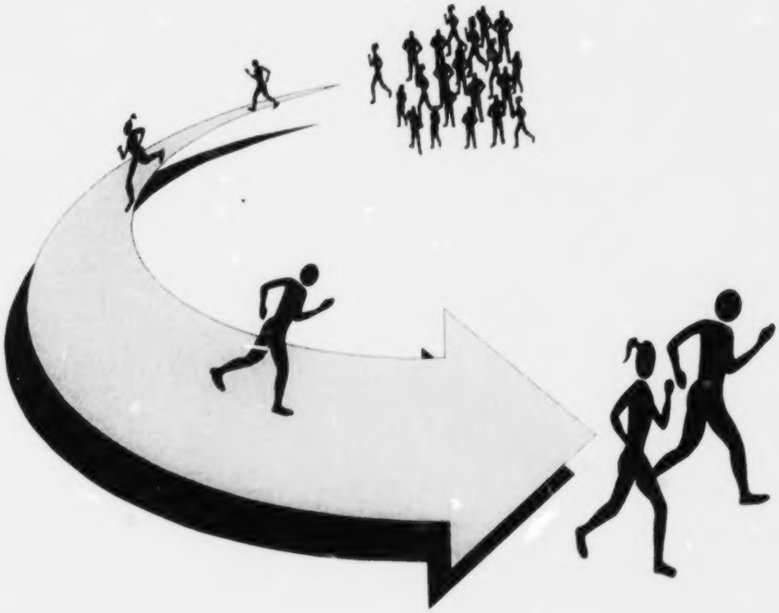
6. How is the team going to get direct, prompt, dependable, usable feedback on its performance?

7. What rewards are there for the team, rather than just individual success?

8. How competent is the team, both as individuals and as a team?

Adopted from: Clay Carr, Team Power, p. 42.

LEADING CHANGE



Building the capacity to lead change.

BEST COPY AVAILABLE

GOAL

To build the capacity to lead change.

Team members examine change management concepts through readings, group discussions, a video and work-related case studies.

OVERVIEW OF CRITICAL EVENTS

- ☐ A pre-test/post-test assesses team members' knowledge of change management.
- ☐ Participants brainstorm to develop two change management models based on new learning from readings.
- ☐ Team members explore the question: What do "Thriving On Chaos" (a video clip based on Tom Peter's book) and collaboration have in common?
- ☐ Case studies derived from team members' work provide opportunities to apply change management strategies.

TODAY'S OBJECTIVES

- ☐ To learn the key concepts of change management.
- ☐ To discuss the function of change management in collaborative initiatives.
- ☐ To compare knowledge about change before and after in-depth study.

Because change is a process, events -- often unexpected events -- unfold over time. -- Unknown

RESOURCES

Suggested Reading:

General:

☐ Dalziel, Murray M. and Stephen C. Schoonover. Changing Ways: A Practical Tool for Implementing Change Within Organizations. New York: American Management Association, 1988.

☐ Hale, Sandra, and Mary Williams, Eds. Managing Change: A Guide to Producing Innovation From Within (Minnesota's Award-Winning STEP Approach). Washington, D.C.: The Urban Institute Press, 1989.

☐ Martel, Leon. Mastering Change: The Key to Business Success. New York: Simon and Schuster, 1986. *Chapter 2, "A Simple Theory of Change,"* pp. 29 - 44.

☐ Thomas, John M. and Warren G. Bennis, Eds. The Management of Change and Conflict. United States: Penguin Books, 1972. *Chapters: 2 - "A Funny Thing Happened on the Way to the Future"; 3 - "Organizations in a Changing World"; 7 - "Changing Organizations"; and 8 - "Models for Building and Changing Organizations."*

☐ Woodside, William S. A Message on Managing Change. Arlington, VA: American Association of School Administrators, 1987.

Topical:

☐ Bruner, Charles. "Is Change from Above Possible? State-Level Strategies for Supporting Street-Level Services." The Early Adolescence Magazine. Vol. V, No. 4, March-April 1991, pp. 29 - 39.

☐ Champlin, John. "Leadership: A Change Agent's View," Leadership: Examining The Elusive. Washington, D.C.: Association for Supervision and Curriculum Development, 1987, pp. 49 - 63.

☐ Kirst, Michael W. "Improving Children's Services: Overcoming Barriers, Creating New Opportunities." Phi Delta Kappan. Vol. 72, No. 8, April 1991, pp. 615 - 618.

Additional Books and Articles about Change: These can be found in bookstores or public libraries. Items marked with "*" are especially good.

Books:

- ☐ *Beckhard, Richard and Wendy Pritchard. Changing the Essence: The Art of Creating and Leading Fundamental Change in Organizations. San Francisco, CA: Jossey-Bass Publishers, 1991.
- ☐ Kanter, Rosabeth Moss. The Change Masters: Innovation and Entrepreneurship in the American Corporation. New York: Simon and Schuster, 1983.
- ☐ *Kirkpatrick, Donald L. How To Manage Change Effectively. San Francisco, CA: Jossey-Bass Publishers, 1985.
- ☐ *London, Manuel. Change Agents: New Roles and Innovation Strategies for Human Resource Professionals. San Francisco: Jossey-Bass Publishers, 1988.
- ☐ *Peters, Tom. Thriving On Chaos: Handbook for a Management Revolution. New York: Harper-Collins, 1987.
- ☐ Schaffer, Robert H. The Breakthrough Strategy. Cambridge, MA: Ballinger Publishing Co, 1990.
- ☐ Schorr, Lisbeth B. Within Our Reach: Breaking the Cycle Of Disadvantage. New York: Anchor Press, 1988.

Articles:

- ☐ "Making Choices About Change: A Special Report on Contemporary Practices," Training and Development. Vol. 46, No. 3, March 1992.
- ☐ "7 Keys To Successful Change," Training. Vol. 31, No. 2, February 1994, pp. 55-58.

HOMEWORK

- Prior to beginning any reading, complete the **Pre-Test: A Self-Assessment of Change Management Knowledge** (pp. 1-5, How To Manage Change Effectively).

- Complete the Required Reading.

  Think about your answers to the questions (at the end of each chapter) in Changing Ways.

- "Skim" at least 2 of the books and the 2 articles from the "Additional List."

- Critical Case: Select one small element from your work that, if changed, would make entering into a collaborative initiative easier. Based on your readings about managing change, write a change management strategy for your desired change.

So why should we change anyway?

CRITICAL EVENTS

Pre-Test/Post-Test

Objective:

- To compare knowledge about change management before and after in-depth reading.

Activity: [30 mins.]

- ❖ As participants arrive, give them a copy of the **Post-Test** (pp. 258-262, How To Manage Change Effectively) to complete.

  As Post-tests are completed, provide individuals with the **Answers to Pre-Test and Post-Test** (pp. 263-271, How To Manage Change Effectively) to score their tests.

When the entire group has finished scoring both tests, ask them the following questions:

- -- Did your knowledge about change and change management improve? How do you know?
- -- Was this a good test?

Change Management Concepts

Objectives:

- To review the key change management concepts.
- To develop two useful change management strategies.

Activities: [60 mins.]

- ❖ Ask team members to brainstorm key change management concepts they derived from the homework readings.

  Select two participants to facilitate and record group ideas on flip charts. Give group 15 minutes to develop their list.

  Ask the group: Does this now cover all the important concepts, or should some others be added? Amend as indicated.

- ❖ Working in the 2 small groups, instruct team members to develop a strategy for managing change. [20 minutes]
- ❖ Review the two strategies. Avoid attempts to synthesize or critique as both approaches may be valid.

  You may want to review the **Basic Guidelines During Change handout/ overhead** (p. 9, Managing Organizational Change) as a way to synthesize the discussion.

Collaboration = "Thriving on Chaos"

Objective:

- To discuss the role of change management in collaborative initiatives.

Activities:

❖ Participants view film clip from video "Thriving On Chaos." [30 mins.]

❖ Using the overhead provided (**Thriving on Chaos,** Attachment 10.1), ask team members to discuss how the video's key points relate to collaboration [15 mins.]:

-- Trust
-- Management is an experiment
-- Shared information
-- Cooperative competition
-- Re-education

❖ Divide the group into 5 small working groups.

Discuss the questions presented to your group with a view toward changing your schools/organizations to a more collaborative approach [60 mins.].

See Attachment 10.2 for **discussion question handouts**.

Group 1:

-- How many changes has your school/organization embraced lately?

-- How many has it resisted?

-- What is the attitude towards change -- opportunity or obstacle?

-- What's your track record in responding to student/client demands? Is changing procedures and preferences considered a pain in the neck or an opportunity to provide better services?

Group 2:

-- Do bureaucratic rules and regulations get in the way of your work? How do they slow you down, prevent you from responding, prevent you from taking initiative?

-- Make a list of some procedures you could do without. On the other side, what bureaucratic problems are you creating for others?

Group 3:

-- What would an across-the-board performance culture mean to your school/organization?

-- How would you recognize and reward contributions to your school/organization's performance?

Group 4:

-- Do your customers order from a menu of standard offerings, or do they first talk to you about their needs?

-- Even at a manufacturing company like 3M, they say the company sells a process, not a product. Look at your work and its customers. What kind of process do you offer your customers? What do you offer them in the way of speed, responsiveness, service, reliability?

Group 5:

-- In flatter organizations, quick, one-on-one communications is vital, replacing the slow drift of memos up and down the hierarchy. How does your work group stay in touch with the rest of the organization? How could communications be improved, especially with other youth/family-serving organizations?

-- What simple communications strategies could you devise for incorporating your customers' wishes into your everyday work life? Devise a way to build communications with customers into the daily routine.

Lunch

- During lunch, encourage the participants to talk with other groups about their questions and conclusions.

  Suggestion for some after lunch levity: Without any previous warning, as team members finish lunch, tell them it is necessary to change rooms, or to rearrange the present room. They must also change their appearance in some way.

- After they have finished with one or all three activities, ask the following question:

  -- You were told to make the changes. What was your initial reaction?

Critical Cases

Objectives:

- To share individual critical cases about desired change at work with other team members.
- To apply change management strategies to work situations.

Activities:

- ❖ Each team member, in 2 minutes or less, presents his or her desired change. Not the strategy they proposed, just the topic. [Facilitator notes topics on flip chart.]
- ❖ In five small groups, divided roughly around similar topics, participants analyze the critical cases. Possible questions:

  -- Based on the day's discussion, is the proposed change management strategy sound?
  -- What steps will be effective and what should be changed? Why?

- ❖ Present cases to the large group including the processes they derived to implement the desired change.

- To follow-up, ask team members to write up their desired change, the proposed strategy, and their time line for implementation. Set a date when these need to be returned to you. Compile them into a book for the entire group and establish a progress check-in date.

Wrap-Up and Preparation

Objective:

- To summarize the day's learnings and to plan next steps for fostering changes in the workplace.

Activities:

- Facilitator (or a team member) summarizes for the group what he/she learned from the case about change and the strategies for managing change. Compare the learning to the two strategies developed earlier in the day. What do team members observe? What did they learn?
- Have team members brainstorm what they learned about leading change and collaboration.
- Establish a check-back date to determine if change efforts at work have been initiated with what results.

Pass out resources and homework for next session.

FEEDBACK FORM

IEL needs your feedback on the Faciltator's Guide to keep us on the cutting edge of training collaborative leaders. Please take a few minutes to reflect on this unit, the team members' reactions and your suggestions for any changes. Thank you for answering the questions below and returning the form with your day's agenda and a list of resources used. **Please fax them to Wendy Russell at 202-872-4050.** THANK YOU!

1. Which activities were most effective? Why?

2. What would you do differently, if you repeated this unit? Why?

3. Which resources did team members find useful, relevant? Did you supply additional ones? If so, what?

4. What were the team's key learnings?

5. What were your key learnings?

6. Other comments or suggestions?

FACILITATOR'S GUIDE TO RESOURCES

The following books can be ordered at volume discount from the publishers or in libraries:

- ☐ Champlin, John. "Leadership: A Change Agent's View," Leadership: Examining The Elusive. Washington, DC: Association for Supervision and Curriculum Development, 1987, pp. 49 - 63. (703-549-9110)
- ☐ Dalziel, Murray M. and Stephen C. Schoonover. Changing Ways: A Practical Tool for Implementing Change Within Organizations. New York: American Management Association, 1988. (800-538-4761, $21.95)
- ☐ Hale, Sandra, and Mary Williams, Eds. Managing Change: A Guide to Producing Innovation From Within (Minnesota's Award-Winning STEP Approach). Washington, DC: The Urban Institute Press, 1989. (University Press of America, 301-459-3366, $19.00)
- ☐ Kirkpatrick, Donald L. How To Manage Change Effectively. San Francisco, CA: Jossey-Bass Publishers, 1985. (415-433-1740)
- ☐ Woodside, William S. A Message on Managing Change. Arlington, VA: American Association of School Administrators, 1987. (703-528-0700, $1.50)

The following books are available in bookstores or public libraries:

- ☐ Martel, Leon. Mastering Change: The Key to Business Success. New York: Simon and Schuster, 1986.
- ☐ Thomas, John M. and Warren G. Bennis, Eds. The Management of Change and Conflict. United States: Penguin Books, 1972.

The following articles are in college libraries or from the publisher:

- ☐ "Making Choices About Change: A Special Report on Contemporary Practices," Training and Development. Vol. 46, No. 3, March, 1992. (703-683-8100)
- ☐ "7 Keys To Successful Change," Training. Vol. 31, No. 2, February 1994, pp. 55-58. (612-333-0471)

☐ "Functional Roles of Change Agents," Theories and Models in Applied Behavioral Science Volume 4: Organizational. San Diego, CA: Pfeiffer & Company, 1991, pp.227-233. (800-274-4434)

Topical:

☐ Bruner, Charles. "Is Change from above Possible? State-level Strategies for Supporting Street-level Services," The Early Adolescence Magazine. Vol. 5, No. 4, March-April 1991.

☐ Kirst, Michael W. "Improving Children's Services: Overcoming Barriers, Creating New Opportunities," Phi Delta Kappan. April 1991, pp. 615 - 618.

The video "Thriving on Chaos" with Tom Peters can be ordered from Films Incorporated, 800-823-4222 (60 minute shortcut - Preview, $50, Rental $250).

ATTACHMENTS

10.1 Thriving on Chaos - Overhead

10.2 Discussion Questions (pp.1-5)

Attachment 10.1

TRUST

MANAGEMENT IS AN EXPERIMENT

SHARED INFORMATION

COOPERATIVE COMPETITION

RE-EDUCATION

from Tom Peters, Thriving On Chaos

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Attachment 10.2
pp. 1 of 5

DISCUSSION QUESTIONS

Group 1:

- How many changes has your school/organization embraced lately?
- How many has it resisted?
- What is the attitude towards change (opportunity or obstacle)?
- What's your record to responding to student/client demands? Is changing your procedures and preferences considered a pain in the neck or an opportunity to provide better services?

DISCUSSION QUESTIONS

Group 2:

- Discuss how bureaucratic rules and regulations get in the way of your work. How do they slow you down, prevent you from responding, prevent you from taking initiative?

- Make a list of some procedures you could do without. On the other side, what bureaucratic problems are you creating for others?

DISCUSSION QUESTIONS

Group 3:

- What would an across-the-board performance culture mean to your school/organization?

- How would you recognize and reward contribution to your company's performance?

DISCUSSION QUESTIONS

Group 4:

- Do your customers order from a menu of standard offerings, or do they first and foremost talk to you about their needs?

- Even at a manufacturing company like 3M, they say the company sells a process, not a product. Look at your work and its customers. What kind of process do you offer your customers. What do you offer them in the way of speed, responsiveness, service, reliability?

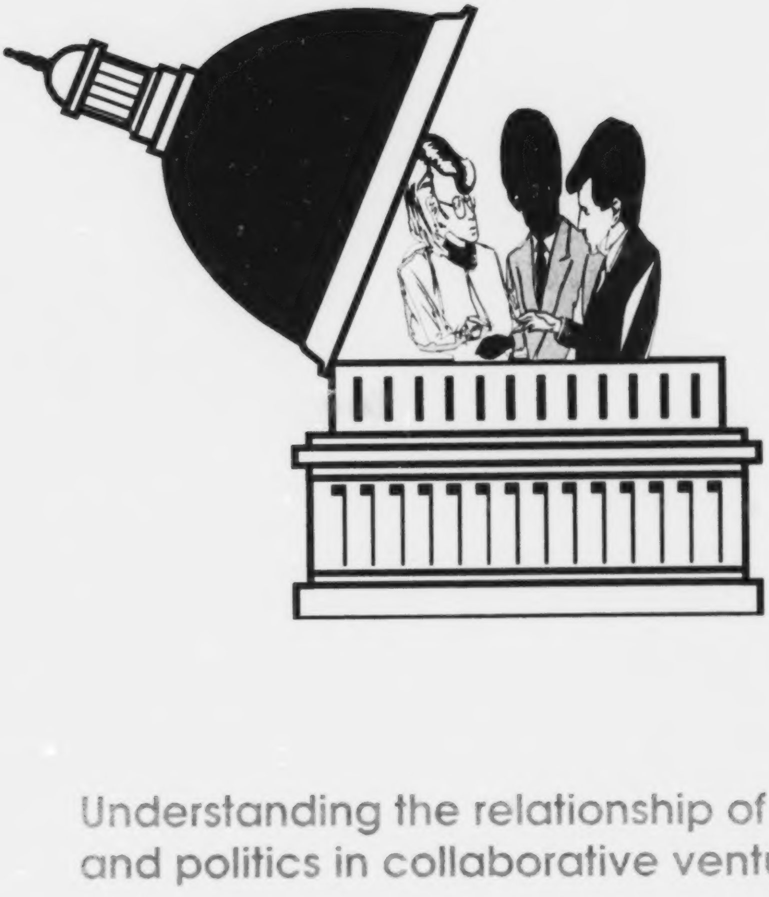
DISCUSSION QUESTIONS

Group 5:

- In flatter, faster organizations, quick, head-to-head communications is vital, replacing the slow drift of memos up and down the hierarchy. How does your work group stay in touch with the rest of the organization? How could you improve your communications, especially with other student/family serving organizations?

- What simple communications strategies could you devise for incorporating your customers' wishes into your everyday work life? Devise a way to build communications with customers into the daily routine.

POWER AND POLITICS



Understanding the relationship of power and politics in collaborative ventures.

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GOAL

To understand the relationship and impact of power and politics in collaborative ventures.

Team members assess their perceptions of power as it affects personal leadership, organizations and systems, and collaboratives through discussions, exercises and a case study.

OVERVIEW OF CRITICAL EVENTS

- ☐ Team members examine their personal perceptions of power through a self-scoring test and an exercise.
- ☐ The issues of leadership and power positions in organizations and systems are explored by discussing assigned readings.
- ☐ Case studies and background reading help team members understand the role of power and politics in collaboration and develop strategies for successfully managing these strong forces.

TODAY'S OBJECTIVES

- ☐ To learn the bases of power, and their effectiveness.
- ☐ To analyze the power strategies used by team members.
- ☐ To pursue the relationship between power and collaboration.
- ☐ To formulate strategies for managing the politics and policy making of collaborative efforts.

RESOURCES

Leadership: Power Positions in Organizations and Systems

☐ Block, Peter, The Empowered Manager: Positive Political Skills at Work. San Francisco: Jossey-Bass Inc., Publishers, 1987.

☐ Gardner, John W. On Leadership. New York: The Free Press, 1990. *Chapter 6: "Power,"* pp. 55-66.

☐ Kouzes, James M. and Barry Z. Posner, The Leadership Challenge: How to Get Extraordinary Things Done in Organizations. San Francisco: Jossey-Bass Inc., Publishers, 1987. *Chapter 8: "Strengthen Others: Sharing Power and Information,"* pp. 161-185.

☐ Oshry, Barry, Power and Position. Boston: Power and Systems Training, 1977.

Power, Politics, and Collaboration

☐ Bolman, Lee G. and Terrence E. Deal. Reframing Organizations: Artistry, Choice, and Leadership. San Francisco: Jossey-Bass Inc. Publishers, 1991. - *Part Four: The Political Frame,* pp. 183 - 240.

☐ Ehrmann, John R. and Michael T. Lesnick, "The Policy Dialogue: Applying Mediation to the Policy-Making Process." J.H. Laue (Ed.). *Using Mediation to Shape Public Policy*. Mediation Quarterly. No. 20. San Francisco: Jossey-Bass Inc., Publishers, Summer 1988.

☐ Haar, Doris. Power Brokering in the Community. Washington, D.C.: Georgetown University Child Development Center, May 1984.

☐ McCall, Morgan W. Power, Influence, and Authority: The Hazards of Carrying a Sword. Technical Report 10, Greensboro: Center for Creative Leadership, 1990.

☐ McCann, Joseph E. and Barbara Grey. "Power and Collaboration in Human Service Domains," The International Journal of Sociology and Social Policy. Vol. 6, No. 3, 1986, pp. 58-67.

General

☐ Greider, William. Who Will Tell the People: The Betrayal of Democracy. New York: Simon and Schuster, 1992.

HOMEWORK

You will need to assign homework based on the program you have designed for the day. A few suggested activities might include:

- Complete the assigned readings.
- Attend a County Board meeting or School Board meeting to observe and pick-up the current "hot" political topics in your area.
- "Fishbowl" your own organization, agency, or work place to identify the political and power issues.
- Go to the movies: *All the King's Men, The Candidate, Malcolm X, Stand and Deliver, The Breakfast Club, Mr. Smith Goes To Washington*. What do they say about power & politics?

Power sharing is a necessary ingredient for collaborating, but it cannot be taken for granted. -- Barbara Gray, Collaborating

FACILITATOR'S NOTES

This session covers 3 levels of power: personal, organizations and systems, and collaboratives. Selections from the suggested activities, marked with a diamond (♦), in combination with local resources will help you build a day-long program. Get input from team members, and the Policy Advisory Team about individual and organizational priorities.

Understanding all 3 power levels is important for effective collaborative leadership. Equally important are the power relationships -- up, down, and across the three levels. (See **The Pluralistic/Political Model**.) 1 Team members should be encouraged to expore these relationships within their own and each other's organizations. Thus, you may wish to take more than one session and select one activity from each category for an overview or explore each issue in depth.

Times listed are approximate and can be adjusted as needed.

CRITICAL EVENTS

Personal Perceptions of Power

Objectives:

- To learn the power bases, and their effectiveness.
- To analyze the power strategies used by team members.

Activities:

- Team Members complete the **Power and Me** (Attachment 11.1) inventory. It will save session time if the Inventory is completed and self-scored as a homework assignment. [60 mins.]

  First in small groups, then with complete group, discuss the following questions:

  -- What is your reaction to your score?
  -- Has this power base been effective for you at work/home?
  -- What is the group's composite score? Is it balanced?
  -- Which power strategies are most effective in collaborative settings? Why?

- Team members participate in a structured exercise -- **Candy Bar: Using Power Strategies** (1989 Annual: Developing Human Resources). Process questions found in Section V are good. [90 mins]

- The **Bases of Power: Developing the Group's Potential** (1991 Annual: Developing Human Resources) takes 3 - 4 hours. It is included as an example of a good exercise, particularly for groups or collaboratives that have issues around power. "The Bases of Power Information Sheet" is a useful handout for the "Candy Bar " exercise.

Leadership: Power Positions in Organizations and Systems

Objective:

- To explore power and powerlessness in organizations and systems.

Activities:

- ❖ In brainstorming session, team members share their "ah-has" from the recommended readings on the topic. (Oshry, B. Power and Position - Attachment 11.2) Suggested questions:

  -- What did you learn about your role/position and use of power?
  -- Will you make any changes in your behavior or work practices?

- ❖ Ask team members to discuss what they learned by "fishbowling" their organization or attending a local meeting (first in small groups then with entire group). Suggested questions:

  -- What did you observe? Could you identify the bases of power?
  -- Who had power and who was sharing it? How could you tell?
  -- What role did politics play?

By its very nature collaboration evokes political dynamics.
-- Barbara Gray, Collaborating

Power, Politics, and Collaboration

Objectives:

- To pursue the relationship between power and collaboration.

- To formulate strategies for managing the politics and policy making of collaborative efforts.

Activities:

- ❖ Team members brainstorm their personal experiences with one (or all)o following statements:

-- "Every organizational process is political."

-- "The political process is so focused on politics it underestimates the significance of both rational and collaborative processes."

-- "Politics is cynical and pessimistic. It overstates the inevitability of conflict and understates the potential for effective collaboration."

- Use the four recommended readings (listed in the Resources section under "Power, Politics, and Collaboration")for team members working in small groups. Instruct them to first select and define a politically "touchy" community, or an organizational/systems issue that they have observed or experienced. Then, develop a collaborative resolution strategy. To save session time, you may want to assign this as homework. Have team members identify an issue and propose a strategy to present in their small group. [2 hrs.]

- Discuss the **Harvard Case Study: Reorganization of Florida's Human Services Agency** (Attachment 11.3). Then compare the issues in the case to the complexities of local policy making and the implications for collaborative ventures. [2-3 hrs.]

Wrap-Up

As a final discussion, ask team members to consider the following questions, or others you develop:

-- What did you learn about power?
-- How are power and politics intertwined?
-- Can power and/or politics be useful in collaboration? How?
-- What role does leadership play in creating or influencing power?

FEEDBACK FORM

IEL needs your feedback on the Facilitator's Guide to keep us on the cutting edge of training collaborative leaders. Please take a few minutes to reflect on this unit, the team members' reactions, and your suggestions for any changes. Thank you for answering the questions below and returning the form with your day's agenda and list of resources used. **Please fax them to Wendy Russell at 202-872-4050.** THANK YOU!

1. Which activities were most effective? Why?

2. What would you do differently, if you repeated this unit? Why?

3. Which resources did team members find useful, relevant?
   Did you supply additional ones? If so, what?

4. What were the team's key learnings?

5. What were your key learnings?

6. Other comments or suggestions?

FACILITATOR'S GUIDE TO RESOURCES:

The following books can be found in bookstores or local libraries:

- ☐ Block, Peter. The Empowered Manager: Positive Political Skills at Work. San Francisco: Jossey-Bass Inc., Publishers, 1987.
- ☐ Bolman, Lee G. and Terrence E. Deal. Reframing Organizations: Artistry, Choice, and Leadership. San Francisco: Jossey-Bass Inc., Publishers, 1991.
- ☐ Gardner, John W. On Leadership. New York: The Free Press, 1990.
- ☐ Greider, William. Who Will Tell the People: The Betrayal of Democracy. New York: Simon and Schuster, 1992.

The following can be ordered : Oshry, B. Power and Position, 617-437-1640.

The Harvard Case Study can be ordered for $2.00 each by calling 617-495-9583 or Fax: 617-495-8878.

The following monograph can be ordered from Publications: Center for Creative Leadership, Greensboro, NC, 919-545-2805.

- ☐ McCall, Morgan W. Power, Influence, and Authority: The Hazards of Carrying a Sword. Technical Report 10, Center for Creative Leadership, 1990. ($12.00)

The following articles can be found in libraries or by calling the publisher:

- ☐ Ehrmann, John R. and Michael T. Lesnick. "The Policy Dialogue: Applying Mediation to the Policy-Making Process," J.H. Laue (Ed.). *Using Mediation to Shape Public Policy*. Mediation Quarterly. No. 20. San Francisco: Jossey-Bass, Summer 1988. (415-433-1740)
- ☐ McCann, Joseph E. and Barbara Grey. "Power and Collaboration in Human Service Domains," The International Journal of Sociology and Social Policy. Vol. 6, No. 3, 1986, pp. 58-67.
- ☐ "The Pluralistic/Political Model," Theories and Models in Applied Behavioral Science Volume 4: Organizational. San Diego, CA: Pfeiffer & Company, 1991, pp. 153-159. (800-274-4434)

☐ "Bases of Power: Developing the Group's Potential" #477, The 1991 Annual: Developing Human Resources. San Diego, CA: Pfeiffer & Company, pp. 43-50.

☐ "The Candy Bar: Using Power Strategies" # 457, The 1989 Annual: Developing Human Resources. San Diego, CA: Pfeiffer & Company, pp. 73-81.

ATTACHMENTS

11.1	Power and Me Questionnaire (pp.1-4)
11.2	Power and Position - Table of Contents
11.3	Harvard Case Study Description

Power and Me

Adapted by G. Neil Karn

INSTRUCTIONS

Listed below are 28 pairs of reasons often given by people when they are asked why they do the things the leader suggests or wants them to do.

Allocate 3 points between the two alternative reasons in each pair. Base your point allocation on your judgment of each alternative's relative importance as a reason for others' compliance to you.

You may allocate the points between the first item and the second item in any of the following four ways. This allows you to weight your responses.

3 A	2 C	1 E	0 G
0 B	1 D	2 F	3 H

Be sure that the numbers assigned to each pair add up to 3.

Others Respond to My Leadership Attempts Because:

1.	A	I can administer sanctions and punishment to those who do not cooperate with me.
	B	They realize that I have connections with influential and important persons.
2.	C	They respect my understanding, knowledge, judgment, and experience.
	D	I possess or have access to information that is valuable to others.
3.	E	My position in the organization provides me with the authority to direct their work activities.
	F	They like me personally and want to do things that will please me.
4.	G	I can provide rewards and support to those who cooperate with me.
	H	I can convince them of the soundness of my position or perspective.
5.	G	I can provide rewards and support to those who cooperate with me.
	A	I can administer sanctions and punishment to those who do not cooperate with me.
6.	B	They realize that I have connections with influential and important persons.
	C	They respect my understanding, knowledge, judgment, and experience.
7.	D	I possess or have access to information that is valuable to others.
	E	My position in the organization provides me with the authority to direct their work activities.
8.	H	I can convince them of the soundness of my position or perspective.
	F	They like me personally and want to do things that will please me.
9.	F	They like me personally and want to do things that will please me.
	G	I can provide rewards and support to those who cooperate with me.
10.	A	I can administer sanctions and punishment to those who do not cooperate with me.
	C	They respect my understanding, knowledge, judgment, and experience.
11.	B	They realize that I have connections with influential and important persons.
	D	I possess or have access to information that is valuable to others.

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Others Respond to My Leadership Attempts Because:

12.	E	My position in the organization provides me with the authority to direct their work activities.
	H	I can convince them of the soundness of my position or perspective.
13.	C	They respect my understanding, knowledge, judgment, and experience.
	E	My position in the organization provides me with the authority to direct their work activities.
14.	D	I possess or have access to information that is valuable to others.
	A	I can administer sanctions and punishment to those who do not cooperate with me.
15.	E	My position in the organization provides me with the authority to direct their work activities.
	B	They realize that I have connections with influential and important persons.
16.	D	I possess or have access to information that is valuable to others.
	H	I can convince them of the soundness of my position or perspective.
17.	F	They like me personally and want to do things that will please me.
	C	They respect my understanding, knowledge, judgment, and experience.
18.	G	I can provide rewards and support to those who cooperate with me.
	B	They realize that I have connections with influential and important persons.
19.	A	I can administer sanctions and punishment to those who do not cooperate with me.
	E	My position in the organization provides me with the authority to direct their work activities.
20.	C	They respect my understanding, knowledge, judgment, and experience.
	H	I can convince them of the soundness of my position or perspective.
21.	B	They realize that I have connections with influential and important persons.
	F	They like me personally and want to do things that will please me.
22.	C	They respect my understanding, knowledge, judgment, and experience.
	G	I can provide rewards and support to those who cooperate with me.
23.	D	I possess or have access to information that is valuable to others.
	F	They like me personally and want to do things that will please me.
24.	H	I can convince them of the soundness of my position or perspective.
	B	They realize that I have connections with influential and important persons.
25.	E	My position in the organization provides me with the authority to direct their work activities.
	G	I can provide rewards and support to those who cooperate with me.
26.	F	They like me personally and want to do things that will please me.
	A	I can administer sanctions and punishment to those who do not cooperate with me.
27.	G	I can provide rewards and support to those who cooperate with me.
	D	I possess or have access to information that is valuable to others.
28.	A	I can administer sanctions and punishment to those who do not cooperate with me.
	H	I can convince them of the soundness of my position or perspective.

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Attachment 11.1
p. 3 of 4

POWER CHOICE SCORING

In order to score your questionnaire, go back through the instrument and add up all the scores that you have given to each of the A, B, C, D, E, F, G and H items. Enter the total for each category in the boxes below. As a check on your addition, the total of these scores should equal 84. These scores reflect your perception of the utilization of various types of power as a basis of your leadership.

	A		B		C		D		E		F		G		H	
TOTALS	☐	+	☐	+	☐	+	☐	+	☐	+	☐	+	☐	+	☐	= 84

POWER CHOICE PROFILE

Transfer your score totals from the Power Choice Scoring and plot them on the graph below by circling the corresponding number on each scale. Connect the circled points with a solid line to complete your profile. This provides a graphic display of your perception of the relative strength of each of your power bases.

	A Coercion	B Connection	C Expert	D Information	E Position	F Admiration	G Reward	H Persuasion
P	21	21	21	21	21	21	21	21
O	20	20	20	20	20	20	20	20
W	19	19	19	19	19	19	19	19
E	18	18	18	18	18	18	18	18
R	17	17	17	17	17	17	17	17
	16	16	16	16	16	16	16	16
	15	15	15	15	15	15	15	15
	14	14	14	14	14	14	14	14
B	13	13	13	13	13	13	13	13
A	12	12	12	12	12	12	12	12
S	11	11	11	11	11	11	11	11
E	10	10	10	10	10	10	10	10
	9	9	9	9	9	9	9	9
	8	8	8	8	8	8	8	8
	7	7	7	7	7	7	7	7
C	6	6	6	6	6	6	6	6
H	5	5	5	5	5	5	5	5
O	4	4	4	4	4	4	4	4
I	3	3	3	3	3	3	3	3
C	2	2	2	2	2	2	2	2
E	1	1	1	1	1	1	1	1
	0	0	0	0	0	0	0	0

For comparison purposes with leaders in similar positions or roles, plot the median scores of your peer group with a broken line or in a different color of ink.

mtbf

POWER BASES[1]

A. COERCION POWER is based on fear. A leader scoring high in coercion power is seen as inducing compliance because failure to comply will lead to punishments such as undesirable work assignments, reprimands, or dismissals.

B. CONNECTION POWER is based on the leader's "connections" with influential or important persons inside or outside the organization. A leader scoring high in connection power induces compliance because others aim at gaining the favor or avoiding the disfavor of the powerful connection.

C. EXPERT POWER is based on the leader's possession of expertise, skill, and knowledge which gain the respect of others. A leader scoring high in expert power is seen as possessing the expertise to facilitate the work behavior of others. This respect enables a leader to influence the behavior of others.

D. INFORMATION POWER is based on the leader's possession of or access to information that is perceived as valuable to others. This power base influences others because they need this information or want to be "in the know".

E. POSITION POWER is based on the position held by the leader in the organizational structure. The higher the position, the greater the power tends to be. A leader scoring high in position power induces compliance from or influences others because they feel that this person has the right, by virtue of position in the organization, to expect that suggestions be followed.

F. ADMIRATION POWER is based on the leader's character or charisma. A leader scoring high in admiration power is liked and admired by others because of personal traits. This liking for, admiration for, and identification with the leader influences others.

G. REWARD POWER is based on the leader's ability to provide rewards for other people. They believe that their compliance will lead to gaining positive incentives such as pay, promotion, or recognition.

H. PERSUASION POWER is based on a leader's capacity to be assertive and persuasive about ideas or preferences. A leader scoring high in persuasion power possesses the ability to communicate forcefully and coherently. Others are influenced by the substance of the leader's articulated position and by the direct and self-confident manner in which it is delivered.

---

[1] The description of these powers adapted from Paul Hersey and Walter E. Natemeyer, "Power Perception Profile" and Daryl R. Connor, "Personal Power Survey".

Attachment 11.2

POWER AND POSITION

by

Barry Oshry

Power & Systems

POWER AND POSITION

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POWER & POLITICS

HARVARD CASE STUDY

Kennedy School of Government
Reorganization of Florida's Human Service Agency
Part A: Case Study # C15-75-38.0
Part B: Case Study # C15-75-39.0
Part C: Case Study # C15-75-40.0

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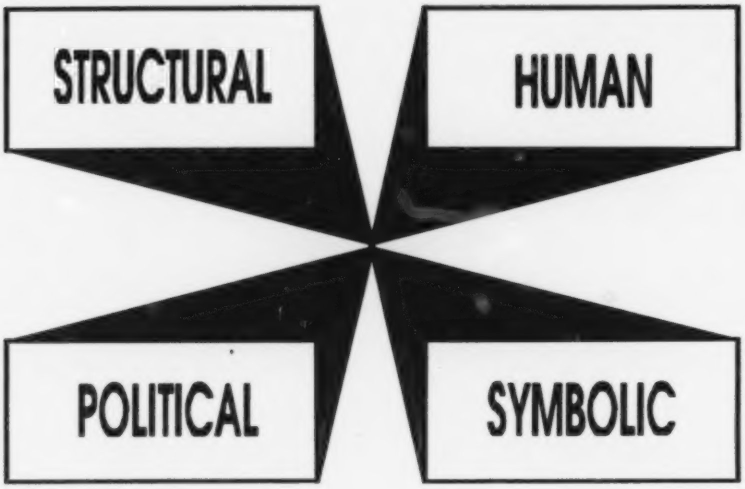
Can be ordered by calling 617-495-9583

This three-part series examines the issue of human services reorganization from several distinct perspectives: the state legislature; an operating division affected by the reorganization; the governor's office; the social workers in the field. The series as a whole serves as a vehicle for examining the origins of the different perspectives and for analyzing the ways in which interaction among different actors in a political setting can influence policy outcomes.

Part A recounts the history of the Florida Human Service Agency; describes the problems legislators faced in creating a truly responsive human service agency, and the response of the governor's office to pressure for reorganization; and concludes with the reorganization bill of 1975--a radical and controversial piece of legislation designed to insure integration through the regionalization of service delivery and the abolition of program-oriented divisions. Part B examines the reorganization from the perspective of an individual program element, the Division of Mental Health. The division saw the reorganization as a threat not only to its autonomy but to its professional identity, since the division as an entity would be abolished and its programs turned over to a generalist--a regional manager responsible for the administration of several unrelated programs. The objections of the professionals in the mental health division--who were disregarded in the reorganization plan--raise questions about the actual benefits of reorganization to the clients of the various programs. Part C describes the effect of reorganization on the actual delivery of services through excerpts of interviews with professionals, generalists, administrators, legislators, community leaders, and HRS social workers.

ORGANIZATIONAL CULTURE


STRUCTURAL
HUMAN
POLITICAL
SYMBOLIC

Examining the culture of organizations.

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GOAL

To examine the culture of organizations.

Team members explore organizational cultures through inventories of their own organizations, an image exchange exercise, and practice sessions to test a collaboration scenario.

OVERVIEW OF CRITICAL EVENTS

- ☐ Team members define their organization's culture through insights from homework readings.
- ☐ An image exchange exercise enables team members to share their views about other organizational cultures.
- ☐ Results from the Organizational Culture Inventory and Organizational Audits are shared and discussed by team members.
- ☐ Collaborative scenarios aid team members in applying organizational frameworks.

TODAY'S OBJECTIVES

- ☐ To establish a common understanding of organizational culture and its impact.
- ☐ To complete a "culture inventory and audit" of each organization.
- ☐ To exchange information about participant's organizational cultures.
- ☐ To examine Deal's four organizational frames: structure, human resource, politics and symbols within a collaborative scenario.

RESOURCES

☐ Bolman, Lee G. and Terrence E. Deal. Reframing Organizations. San Francisco: Jossey-Bass Publishers, 1991.

☐ Deal, Terrence E. "Deeper Culture: Mucking, Muddling, and Metaphors," Corporate Cultures. John Glidewell (Ed.) Alexandria, VA: American Society for Training & Development, 1986, pp.21-42.

☐ Schein, Edgar H. Organizational Culture and Leadership. San Francisco: Jossey-Bass Publishers, Inc., 1992.

☐ Robison, Susan D. Putting the Pieces Together: Survey of State Systems for Children in Crisis. Denver: National Conference of State Legislatures, July 1990.

HOMEWORK

○ Complete the **Organizational Culture Inventory and Organizational Audit.** Get imput from your colleagues at work.

○ Complete assigned reading.

What role does culture play in organizations? At the most basic level, it makes meaning. -- Terrence E. Deal, Corporate Cultures

FACILITATOR'S NOTES

Prior to introducing this unit, please review pages 206-207 in Edgar Schein's book (See Summary and Conclusions). These are important concepts to relay to team members. You may want to develop a handout. Schein's key point: "There must be some valid purpose to cultural analysis." For our purposes, this unit should encourage team members to explore the following three concepts:

- ○ If leaders create culture, what is your role in defining and effecting change in your organization's culture?
- ○ The internal and external analysis of your organization's culture must aim to determine your organization's ability to collaborate with others.
- ○ To collaborate fully with other organizations, you need insights and an understanding of culture that produces shared outcomes via shared responsibilities and resources.

To maximize time, consider assigning the Organizational Culture Inventory (OCI), the Organizational Audit, and the questions from the Image Exercise as homework. If there are several team members from the same organization, have them work together to complete the Image Exercise and score and present the two inventories.

Please remember that while the Organizational Culture Inventory and Audit are similar, each offers different information. The OCI examines culture for insiders, while the Audit details the culture to outsiders. By completing both assignments, team members will get both aspects of their organizations.

The primary skill for leaders in contemporary America is to "understand the kind of world it is and have some acquaintance with the systems other than their own with which they must work." – John Gardner

CRITICAL EVENTS

◆ Organizational Culture Defined

Objectives:

- To establish a common understanding of organizational culture and its impact.
- To review the homework readings.
- To have some fun.

Activities:

- Ask team members to respond to the following question:

  – Based on your homework readings, how would you define organizational culture?

  Chart the responses. If you find them too general, or participans need a prod, ask them for examples.

- To wrap-up the discussion, use the three overhead/handouts which provide summaries from Bolman and Deal's and Schein's books and review ways to define organizational culture (Attachment 12.1, 12.2 and 12.3).

- To have some fun, ask the team to think about their CLP group and consider:

  – What slogan or motto best captures what CLP is all about?
  – What animal, plant, or mineral best symbolizes the team?
  – Create a newspaper headline that would celebrate the group's greatest success and create one that would mourn its greatest failure.
  – What comic strip character is most like the facilitator(s) of CLP?

Remind team members they can also do this for their organizations. Even in jest, they can decipher underlying themes about how one is expected to work in the group, what is encouraged, and what is discouraged.

♦ Image Exchange

Objectives:

- To explore team members' perceptions of another organization.
- To identify "how you know what you know about that organization?"

Activities:

- As homework, ask individual team members to target one organization/ agency represented in the group.

  Thinking about that organization, they then respond to the following questions and record their responses on newsprint:

  -- Why did you choose this organization?
  -- How do you see this organization?
  -- How do you think this organization sees your organization?

- During the day's session, have individual team members share their responses with the group. Your role is to help members listen, but not respond to the information. Their goal is to understand the perception of others, and note any biases expressed by the reporting member.

- Give members (working alone) about 20 minutes to formulate a response to the data presented. The goal is not to refute, but to clarify or explain. Encourage them to think about how the perception or bias might have been generated, then provide further information.

- Back together, in large group, team members share their responses to the data.

  After each team member has presented, ask him or her to consider how external perceptions of culture impact potential collaborative relationships.

◆ **Culture Inventory**

Objective:

- To examine organizational culture and expectations of staff.

Activities:

❖ As homework, have each team member complete the **Organizational Cultural Inventory** for their organization. They also need to have four colleagues at work complete the inventory.

Have them score and plot the 5 responses on one wheel.

❖ During the session, team members report their findings to the group. Encourage them to consider the following questions:

-- What is your reaction to what you learned about your organization's culture?
-- Do you think its style is conducive to collaboration?

Once all the reports are completed, place each organization style on a clean chart and encourage members to notice differences and similarities between all the organizations represented in the group. Discuss the following questions:

-- What did you learn about another organization that surprised you or changed a misconception?
-- Is the group profile conducive to collaboration?

◆ **Audit**

Objectives:

- To review the "culture audit" of team members' organizations.
- To establish a common language.

Activities:

- In cross-sector pairs (education with social services etc.), members review their **organizational audit** (which they have completed as homework -- Attachment 12.4).
- The pairs are then joined by another cross-sector pair, making a team of four. The audits are once again reviewed. Any terms, words, acronyms are defined on a separate newsprint.
- The team of four then answers the following questions among themselves (noting responses on newsprint.):
    - What did you learn about your counterparts' culture and operations?
    - What did the information confirm for you?
- The teams share their worksheet's with the larger group.
- Next, ask the group these questions:
    - What "common ground" exists among the organizations' cultures?
    - Does the culture and management of the other organizations create opportunities or barriers to working collaboratively ?

Framing Collaboration

Objectives:

- To examine the four organizational frames: structure, human resource, politics and symbols within a collaborative scenario.

Activities:

- Review the **four frames** using the attached overhead/handout (Attachment 12.3). To make sure members understand the concepts; ask them to give examples from their own or other organizations.

- The cross-sector teams of four, drawing on the knowledge of each organization's strengths and culture, identify a scenario (from their own workplace) that by working collaboratively could be better addressed. [Ref: Chapter 17 of Reframing Organizations. Also, Putting the Pieces Together might help generate ideas.]

  You need to encourage the participants to think locally, not globally, and to select an example from their own work. For example, instead of solving the city's homeless problem, have team members find suitable housing for Ms. Jones and her eight-year-old daughter.

- Once they have identified a scenario and some collaborative steps, ask them to overlay the four frames on their scenario.

- The small groups present their framed scenario to the entire group for their comments and feedback.

Wrap-Up & Preparation

Objectives:

- To summarize the day's learnings.

Activities:

- Ask team members to reflect on the following:

  -- What have you learned about organizational culture?
  -- How much can you change an organization's culture?
  -- What have you learned about collaboration?
  -- What will you share with your colleagues at work?
  -- What will you use back at work?

- Review the next meeting's goals and hand out homework assignments and resource materials.

FEEDBACK FORM

IEL needs your feedback on the Facilitator's Guide to keep us on the cutting edge of training collaborative leaders. Please take a few minutes to reflect on this unit, the team members' reactions, and your suggestions for any changes. Thank you for answering the questions below and returning the form with your day's agenda and list of resources used. **Please fax them to Wendy Russell at 202-872-4050.** THANK YOU!

1. Which activities were most effective? Why?

2. What would you do differently, if you repeated this unit? Why?

3. Which resources did team members find useful, relevant?
   Did you supply additional ones? If so, what?

4. What were the team's key learnings?

5. What were your key learnings?

6. Other comments or suggestions?

FACILITATOR'S GUIDE TO RESOURCES:

We recommend the following books and monograph:

☐ Bolman, Lee G. and Terrence E. Deal. Reframing Organizations. San Francisco: Jossey-Bass Publishers, 1991.

☐ Robison, Susan D. Putting the Pieces Together: Survey of State Systems for Children in Crisis. Denver: National Conference of State Legislatures, July 1990. (303-830-2200)

☐ Schein, Edgar H. Organizational Culture and Leadership. San Francisco: Jossey-Bass Publishers, Inc.,1992. (415-433-1740)

The following articles can be found in libraries or from the publisher:

☐ Deal, Terrence E. "Deeper Culture: Mucking, Muddling, and Metaphors," Corporate Cultures. John Glidewell (Ed.) Alexandria, VA: American Society for Training & Development, 1986, pp.21-42. (703-683-8100)

☐ "Organizational Culture," pp. 115-117, "Organizational Roles," pp. 125-127, and "The Organizational Universe," pp. 129-137, Theories and Models in Applied Behavioral Science Volume 4: Organizational. San Diego, CA: Pfeiffer & Co., 1991. (800-274-4434)

The Organizational Cultural Inventory (OCI) participant materials can be ordered from: Human Synergistics at 1-800-622-7584. ($6.50 each)

ATTACHMENTS

12.1 Organizational Culture Definition

12.2 Elements of Organizational Culture (Schein)

12.3 Framing Organizations (Bowman & Deal)

12.4 Organizational Audit (pp. 1-3)

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ORGANIZATIONAL CULTURE DEFINED

Created by "Leaders"

Complex and difficult to understand

Must be understood if one is to get along in the organization

A learned product of a group's history and experience

Shared set of basic assumptions and beliefs usually operating at an unconscious level.

Consists of a number of "mini-cultures" that are often in the conflict.

Is based on a commonly held set of values and behaviors expressed through group norms and rules.

Is highly "visible" and "feelable"

Impacts everything that is done in the work place (and often beyond)

Pain is experienced when change is attempted--resistance when anticipated.

Attachment 12.2

ELEMENTS OF ORGANIZATIONAL CULTURE

ARTIFACTS: Visible organizational structures and processes (hard to decipher)

⇑ ⇓

ESPOUSED VALUES: Strategies, goals, philosophies (espoused justifications)

⇑ ⇓

BASIC UNDERLYING ASSUMPTIONS: Unconscious, taken-for-granted beliefs, perceptions, thoughts and feelings (ultimate source of values and action)

Source: Schein, Edgar. Organizational Culture and Leadership. San Francisco: Jossey-Bass Publishers, 1992, p.17.

Attachment 12.3

FRAMING ORGANIZATIONAL CULTURE

- ★ **STRUCTURAL FRAME:** Emphasizes the importance of formal roles and relationships. Structures--are created to fit an organization's environment and technology.

- ★ **HUMAN RESOURCE FRAME:** Starts with the fundamental premise that organizations are inhabited by individuals who have needs, feelings and prejudices. Both have skills (great capacity to learn)and limitations (greater capacity to defend old attitudes and beliefs).

- ★ **POLITICAL FRAME:** Views organizations as arenas in which different interest groups compete for power and scarce resources. Problems are solved through conflict, bargaining, coercion and compromise.

- ★ **SYMBOLIC FRAME:** Treats organizations as tribes, theater, or carnivals. The symbolic frame views organizations as cultures propelled more by rituals, ceremonies, stories, heros, and myths than by rules.

Source: Lee G. Bolman & Terrence E. Deal. Reframing Organizations Artistry, Choice, and Leadership. San Francisco: Jossey-Bass Publishers, 1991, p.15.

ORGANIZATIONAL AUDIT

1. THE ORGANIZATION'S BASE: IT'S CULTURE & SYSTEMS

A. WORKFORCE STABILITY

- How long has the agency had the same key leaders? Board member?
- Is there turnover in staff?
- Is there a sense of history and/or tradition in the agency?

B. DECISION MAKING

- How does leadership delegate authority?
- Is there a clearly defined decision making process?
- Do the habits and values of key decision makers impact this process?
- Are decisions keyed to long-range plans?

C. ORGANIZATION CULTURE

- Is there a clearly held philosophy of service delivery?
- Is there a philosophy of organizational development?
- How do Board and staff energies and interests impact the organization?
- How do they manage conflict?
- What are the evaluation processes and the agency's capacity to receive feedback?
- What do staff do when they experience fear, confusion, stubbornness?

Adapted from Karen Ray Associates

ORGANIZATIONAL AUDIT

(CONTINUED)

2. MARKET FACE OF THE ORGANIZATION

A. SERVICE EFFECTIVENESS

- How many clients do you help?
- What is the quality of your services?
- Do you have an understanding of fundamental needs of current clients?
- Is there a favored service delivery model?

B. REPUTATION IN THE COMMUNITY

- Is your agency public about its firmly held values of the organization's place in the community?
- Is there a willingness to take risks?
- What are your agency's values about cost efficiency?

C. MARKETING PROGRAM

- Does your agency have a marketing program?
- Is there a mechanism to forecast upcoming trends in client needs and populations?
- Does your agency have a grasp of market forces (what will sell and who will buy)?

Adapted from Karen Ray Associates

ORGANIZATIONAL AUDIT

(CONTINUED)

3. ORGANIZATION'S INTERFACE WITH OTHER ORGANIZATIONS

A. **TRUST**

- Experience in negotiating
- Quality and quantity of shared information

B. **CLARITY**

- Clarity of vision
- Ability to state issues clearly

C. **AUTHORITY**

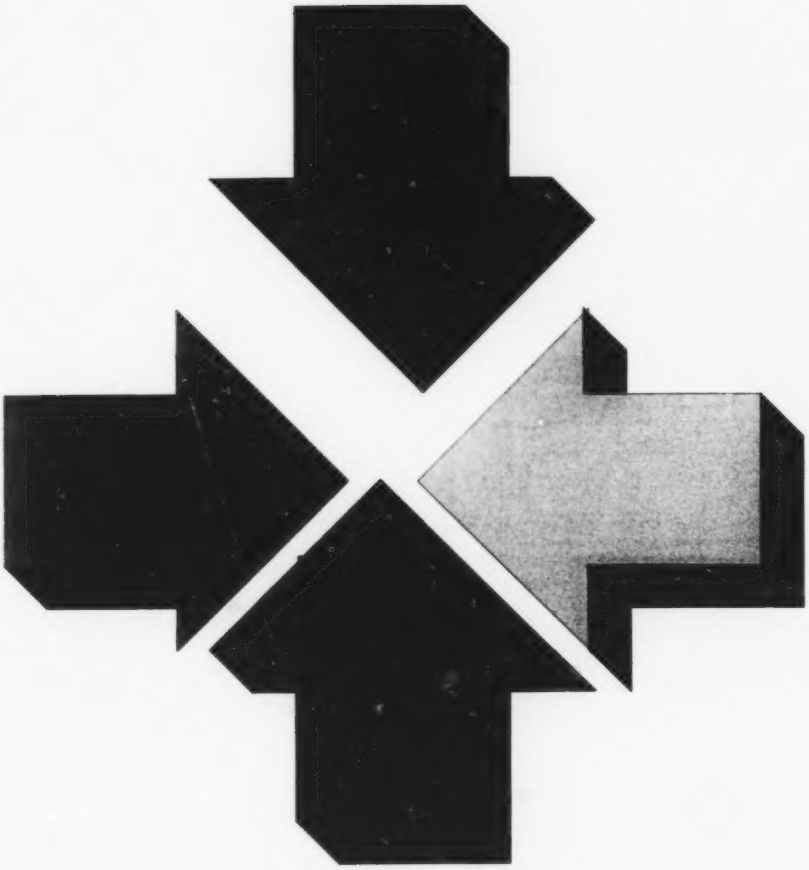
- Ability to operate at the collaboration conference tables without distant governance

D. **OUTPUT**

- Willingness to use measurements of outcomes
- Willingness to access external resources
- Meeting attendance
- Meeting performance

Adapted from Karen Ray Associates

PART III:
BUILDING FOR CHANGE



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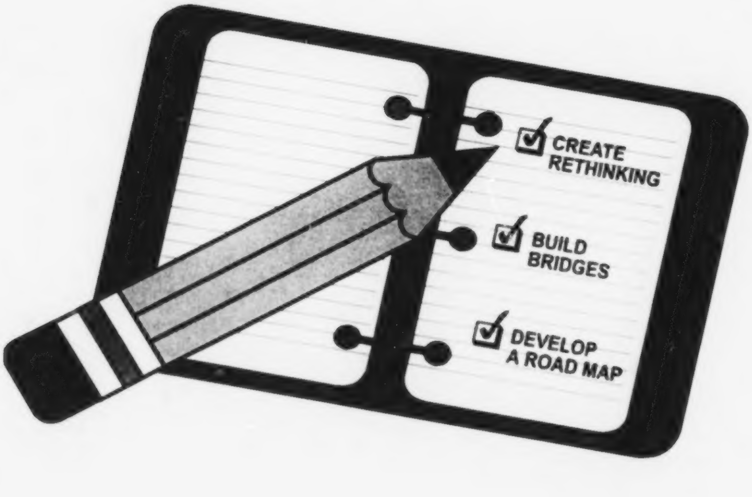
IMPLEMENTATION PLANNING


CREATE RETHINKING
BUILD BRIDGES
DEVELOP A ROAD MAP

Thinking through the concepts required to implement collaborative initiatives.

BEST COPY AVAILABLE

We must be committed to our processes as well as our programs. We must remember that the journey is as important as the destination. It matters greatly how we reach our goals. -- M. Scott Peck

GOAL

To think through the concepts required to implement collaborative initiatives.

OVERVIEW OF CRITICAL EVENTS

Team members develop a common frame of reference for collaborative planning thru homework readings.

Two activities show team members that successful planning depends on careful problem identification.

Case studies and a continuum exercise help team members focus on aspects of going to scale.

Team members practice action planning steps.

Other collaboratives are examined to see what may be applicable to the team's intiative(s).

TODAY'S OBJECTIVES

- ☐ To find the true nucleus of the problem.
- ☐ To acquaint team members with the compexity of "joint action" in planning.
- ☐ To review and practice the basic steps of action planning.
- ☐ To scan a variety of national and local collaborative initiatives.

RESOURCES

☐ Melaville, Atelia I. and Martin J. Blank. Together We Can: A Guide for Crafting a Profamily System of Education and Human Services, Washington, DC: U.S. Government Printing Office, April 1993.

☐ Block, Peter. Stewardship.San Francisco, CA: Berrett-Koehler Publishers, Inc., 1993.

☐ Senge, Peter M. The Fifth Discipline. New York: Doubleday, 1990.

☐ Wheatley, Margaret J. Leadership and the New Science. San Francisco, CA: Berrett-Koehler Publishers, Inc., 1993.

Articles:

☐ Doyle, Denis P. and Susan Pimentel, "A Study in Change: Transforming the Charlotte-Mecklenburg Schools," Phi Delta Kappan. Vol.74, No.7, March 1993, pp. 534-539.

☐ Going To Scale with a Comprehensive Services Strategy. Summary Notes, Wingspread Conference, New York: National Center for Service Integration, May 1993.

☐ Schorr, Lisbeth B. "What Works: Applying What We Already Know About Successful Social Policy," The American Prospect. No.13, Spring 1993, pp.43-54.

☐ Senge, Peter M. " The Leader's New Work: Building Learning Organizations," Sloan Management Review Reprint Series. Vol. 32, No. 1, Fall 1990, pp. 7-23.

HOMEWORK

○ Read the articles and skim the books.

○ Complete other activities as assigned in preparation for the day's session.

FACILITATOR'S NOTES

This unit conveys 2 key points:

- collaborative planning and implementation is a process; and
- there are no quick fixes in collaborative planning.

Nuts and bolts, specifics, models, strategies are necessary and useful building blocks, but they can also trap you into assumptions that stymie creativity and mask the real problem you are trying to address.

You need to plan at least two sessions on this unit. The activities outlined cover four important concepts: problem identification, planning as a systems reform process, planning models, and scanning collaborative models. As always, select activities that meet team needs and involve team members in the planning and execution of this unit.

Team members should read two documents prior to this session: "The Leader's New Work: Building Learning Organizations" by Peter Senge and "Going to Scale with a Comprehensive Services Stategy" -- Summary Notes from the National Center for Service Integration May 1993 Wingspread Conference. These readings will help members think differently about the standard approach to planning -- implementing a solution to solve a problem. Leadership and the New Science and Stewardship offer insights into the latest thinking about organizations and the leader's role. We recommend them to encourage team members to view planning from a systems reform perspective rather than the traditional linear "fix it" approach.

This unit is a culmination of the team's skills learning (visioning, team building, change, etc.). They are ready to put these new skills into action by moving forward with a collaborative initiative. A review of Together We Can and revisiting the Community Assessment Unit is also recommended.

And, this unit has an expanded Resources section for team members to review and use as they move forward with their implementation planning. Once they have identified a "project," encourage them to examine other initiatives, contact resource people listed, and call us at IEL. We have many topic-related resources that may be helpful.

Abstract planning divorced from action becomes a cerebral activity of conjuring up a world that does not exist. Acting should precede planning ... because it is only through action and implementation that we create the environment. Until we put the environment into place, how can we formulate our thoughts and plans? -- Margaret Wheatley

CRITICAL EVENTS

Problem Identification

A problem well stated is a problem half solved. -- Charles F. Kettering

Objective:

- To help team members find the true nucleus of the problem.

  Reformers often assume they know and agree upon the problem they want to address. The following exercises will help team members explore the surrounding causes and identify the true problem for planning purposes.

◆ **Systems Archetypes**

Senge's work defines a collaborative as "a consummately adaptive organization." He urges those involved in planning to consider 3 steps: 1) define reality, 2) identify the mental models, i.e., assumptions, and 3) examine the systems or underlying patterns already in place before moving ahead (Attachment 13.1).

- Next prepare and review the overhead of the **Archetype Template** (p. 152, Senge, P. The Fifth Discipline). Have one or more of the team members explain their understanding of the model from the Senge readings.
- Working in groups of 3-4, have team members identify the issues that they think the community is facing. Apply the archetype model to the issues to see if they can uncover a fundamental solution.

- After 30 minutes, ask the groups to share their discussion.

If, after all the groups have presented, there are common issues, focus on these to determine if there is agreement that these are indeed critical community problems.

The next exercise can help team members appreciate the fact that problem identification is not simple.

◆ How Many Trees in an Apple?

This exercise demonstrates that often it is useful to immerse yourself in a problem before you can see all of its dimensions.

Display a picture of an apple tree to the group or draw one on a flip chart. Suggest that it is a relatively easy task for anyone to determine the number of apples on a tree (through observation and careful counting). Consequently, the task lends itself to completion on an individual basis.

Some tasks, however, require immersion into the details before the answer can be readily found. Distribute an apple to each person. Ask them: How many trees are in this apple?

The solution lies in taking apart (or eating) the apple and counting the seeds.

Discussion Questions:

-- What techniques did you use to aid you in the process of solving this problem?
-- How can you immerse yourself into the problem(s) for which you want to plan a solution?

Among the many possible responses to the questions above, team members need to include data collection, involving community members or stakeholders, and policy makers. Chart their responses and prepare a handout summary.

◆ **Problem Tree**

Problem analysis is a critical skill which ultimately impacts the ultimate program design. If this step is done too hastily it will impact decisions about where to intervene and the maximum impact on the problem, thus impairing the outcome.

❖ Brainstorm all the community problems team members think a collaborative approach would resolve, or use the list from the previous exercise.

Then, select 1 - 3 of the problems and have the entire group or several small groups think about all the factors that influence or create this problem by answering the question: What causes this problem? Then, what causes that, and so on.

❖ After the group(s) finish, have each give their report followed by questions. The facilitator should focus the discussion on the logic of the interrelationships as the group saw them, not on an effort to get the causes in a correct order, but to focus on the "roots" of the problem.

Once the group has identified the nucleus problem, they can then arrange for data collection that relates to this problem and identify the stakeholders who must be involved.

Planning as a Systems Reform Process

Objective:

- To acquaint team members with the complexity of "joint action" in planning community reform efforts.

◆ **Community Planning Case Studies**

❖ You may also consider using them as a pre-test, post-test for planning. Have team members complete them prior to reviewing planning models, then review them again to see if they would do them differently. They are also a useful lead-in to planning models highlighting all the necessary components of a long-term action plan. (Attachment 13.2 for **Planning Case Studies**.)

◆ Systems Reform Continuum

Some team members may already be involved in collaboratives. This exercise is a valuable tool for assessing the collaborative's status. If you choose not to take session time for this exercise, or the team is not this far along, consider 2 ideas:

- complete only the strategic planning column; or
- use the grid's questions for discussion about what needs to be considered.

Allow at least 2 hours for this activity. The grid and cards are available from IEL. (202-822-8405)

- Hand out the grid for team members review. Once the Rationale and Elements of Systems Reform have been covered, encourage the group to read the questions in each block so they have the big picture.

- Next, hand out the cards (one set to each member) or have them work together in groups of 2-3. Members from the same organization can work together. Each person or small group needs ample space to spread out the cards.

  They then organize the cards by category in the following order:

  -- already taken care of
  -- not an issue
  -- need to address

- Next step: Take the "need to address" cards and put them in priority order (1st, 2nd, 3rd, etc.). Then generate the list on newsprint. The result: Team members now have lists in 5 key areas that need to be considered and acted on. This is where action planning now comes in to help organize the process.

IMPLEMENTATION PLANNING

The outcome of collaboration is the weaving together of multiple and diverse viewpoints into a mosaic replete with new insights and directions for action agreed on by all the stakeholders. -- Barbara Gray

Planning Models

Objective:

- To review and practice the basic steps of action planning.

There are many models for action planning. (Check the Resource List.) Two are offered below. You may select one or the other or a combination of the two. These two models were chosen because they are simple, clear and easy to use. Each model contains similar steps, described differently, but the process is the same.

♦ Decision Thinking

The witty British comedian, John Cleese, stars in Think or Sink: Professional Team Decision Thinking. In 26 minutes the viewer is led through the 4 steps of decision thinking:

-- Defining the question and gathering information
-- Creating alternatives and tolerating tension
-- Predicting the future consequences and planning for contingencies
-- The decision -- deciding on probabilities, risks, and rewards

♦ Action Planning

The second, action planning model (B) is taken from a community development manual used to train Peace Corps volunteers. See Attachment 13.3 for a full description of the following steps:

-- Collect data
-- Analyze data
-- Set a goal
-- Make a plan
-- Implement plan
-- Evaluate

Activities:

After selecting and reviewing one or both of these models, ask team members (in small groups) to practice by completing one or all three of the following tasks. Plan 1-1/2 hours to execute each activity.

Suggestion: Consider reviewing both models, then asking small groups to each use a different model to complete the same task. Once complete, compare the differences in process and outcome.

- **Bake a cake**

  Using one of the action planning models (or both), develop a plan for baking a cake to be delivered to the school bake sale by 10:00 Saturday morning. Every person in the group must be involved in some aspect of getting the cake baked and delivered. See Attachment 13.5 for an example.

- **Build a Model Community**

  Using one of the planning models, design and build a model community. All group members must have roles which they actually execute. Children's wooden building blocks are quite effective for this exercise.

- **Collaborative Planning**

  Ask team members to consider one of the community issues they have identified and apply one of the planning models.

- When complete, share the plans with the group. Have team members critique. Suggested questions:

  -- Are the steps well thought out?
  -- What would you do differently?
  -- Was the outcome successful? How do you know?
  -- What did you learn?
  -- How did the team work together?

Scanning Collaboratives

Objective:

- To scan a variety of national and local collaborative initiatives.

This section has two activities: Identifying collaboration success factors in two video case studies, and completing a scan of local, state and national collaboratives. The latter is best done as homework. The Resource Guide accompanying the video cases -- Schools That Work - Integrating Community Services -- is useful. Section 4, "Followup Activities for Participants," has good questions for helping the team.

◆ Collaboration Success Factors

The publication, Collaboration: What Makes It Work (pp. 12-14) identifies 19 factors grouped into 6 categories that influence the success of collaborations.

Suggestion: Assign Collaboration: What Makes It Work as homework so team members are familiar with the concepts, or assign to a small group the task of making a presentation about the factors.

❖ Once team members are familiar with the factors, show the first video, "Fulton County, KY." Have the team identify the success factors present or lacking in the case by using the checklist. Discuss the teams' findings.

Repeat the process for the second case study, "South Bend, IN,"

❖ After both videos have been viewed and discussed, close with the following questions:

-- What were the similarities and differences between the two videos?
-- What advice would you give to the two sites?
-- Was this a useful exercise? Why?

◆ **Collaborative Scanning**

This activity is a good post-session homework assignment. Each member is to select and become very familiar with one collaborative -- local, state or national. You will need to compile a list with team input. We have provided a list of national ones, but would encourage a local/state scan first. Attachment 13.5 provides sample guidelines and interview questions which can be edited with team input.

Set a deadline for reports to be in, then with team assistance, compile a comprehensive report that will be not only a resource for the team, but the state as well. At a future meeting, it will be important for the members to discuss what they learned from this exercise.

Wrap-Up

This unit may cover several sessions, and indeed may never come to a close as the team moves its intiative(s) forward. But, a recap is always useful. Suggested discussion questions follow:

-- What do you perceive to be the differences between traditional planning and system reform implemention planning?
-- What was your key learning?
-- What will you take back to work with you?
-- What would you say are the concepts required to implement collaborative initiatives?

FEEDBACK FORM

IEL needs your feedback on the Training Guide to keep us on the cutting edge of training collaborative leaders. Please take a few minutes to reflect on this unit, the team members' reactions, and your suggestions for any changes. Thank you for answering the questions below and returning the form with your day's agenda and list of resources used. **Please fax them to Wendy Russell at 202-872-4050.** THANK YOU!

1. Which activities were most effective? Why?

2. What would you do differently, if you repeated this unit? Why?

3. Which resources did team members find useful, relevant?
   Did you supply additional ones? If so, what?

4. What were the team's key learnings?

5. What were your key learnings?

6. Other comments or suggestions?

FACILITATOR'S GUIDE TO RESOURCES

The following books can be ordered at volume discount from the publishers or found in local libraries and bookstores:

☐ Block, Peter. Stewardship. San Francisco, CA: Berrett-Koehler Publishers, Inc., 1993.

☐ Senge, Peter M. The Fifth Discipline. New York: Doubleday, 1990.

☐ Wheatley, Margaret J. Leadership and the New Science. San Francisco, CA: Berrett-Koehler Publishers, Inc., 1993.

Together We Can is free from the U.S. Department of Education. To order call Susan Talley at 202-219-2129.

The following articles are available in local libries:

☐ Doyle, Denis P. and Susan Pimentel. "A Study in Change: Transforming the Charlotte-Mecklenburg Schools," Phi Delta Kappan. Vol. 74, No.7, March 1993, pp. 534-539.

☐ Schorr, Lisbeth B. "What Works: Applying What We Already Know About Successful Social Policy," The American Prospect. No.13, Spring 1993, pp.43-54.

☐ Senge, Peter M. "The Leader's New Work: Building Learning Organizations," Sloan Management Review Reprint Series. Vol.32, No.1, Fall 1990, pp. 7-23.

Ordering information for the following 3 documents is listed below:

Collaboration: What Makes It Work. St. Paul, MN: Amherst H. Wilder Foundation, 1992. To order call 1-800-274-6024. $11.95 (quantity discounts)

Going To Scale with a Comprehensive Services Strategy. Summary Notes, Wingspread Conference from the National Center for Service Integration. Call 703-824-0800.

Schools That Work. Guidebook 8 - *Integrating Community Services*, North Central Regional Educational Laboratory, 1992: Publications Department, 708-571-4700. $25.00

RESOURCES

Building Collaboratives -- The big picture and important considerations:

☐ Astroth, Kirk. "More Than Good Intentions: A Developmental Model for Building Strategic Alliances," Community Education Journal. Vol.XX, No.1, Fall 1992, pp. 9-12. (703-683-6232)

☐ Benveniste, Guy. Mastering the Politics of Planning. San Francisco: Jossey-Bass Inc. Publishers, 1989. Topics: Why Planning is Political, Planning to Handle Uncertainty, Building Coalitions and Networks to Support Plans.

☐ Chynoweth, Judith K. A Guide to Community-Based, Collaborative Strategic Planning. Washington, D.C.: Council of Governor's Policy Advisors (CGPA), 1994. (202-624-5386)

☐ Cutting Through the Red Tape: Meeting the Needs of California's Children. Sacramento: California School Boards Association, December 1992. ($7.00) Call 916-371-4691 to order. Topics: Barriers to Integrated Services, Solutions to Removing Identified Barriers, Next Steps: State, Local and Individual Priorities.

☐ Quezada, Shelley, and Ruth S. Nickse. Community Collaborations for Family Literacy Handbook. Boston: The Massachusetts Board of Library Commissioners, 1992. (Board of Library Commissioners, 648 Beacon Street, Boston MA 02215) Topics: Project Description, Lessons Learned, Steps for Local Collaboratives to Consider When Developing a Collaborative Project.

☐ Schindler-Rainman, Eva, and Ronald Lippitt. Building the Collaborative Community: Mobilizing Citizens for Action. Riverside, CA: University of California Extension, 1980. Copies can be ordered from: ENERGIZE 215-438-8342. Topics: Voices from the Community, Ways of Getting Started, Implications for the Development of Leadership and Consultant Competencies.

☐ Tagliere, Daniel A. How to Meet, Think, and Work to Consensus. San Diego: Pfeiffer & Co., 1993. (800-274-4434)

☐ Winer, Michael, and Karen Ray. Collaboration Handbook: Creating, Sustaining and Enjoying the Journey. St. Paul, MN: Amherst H. Wilder Foundation, 1994. 800-274-6024.

☐ Zander, Alvin. Effective Social Action by Community Groups. San Francisco: Jossey-Bass Inc. Publishers, 1990. Topics: Citizen-Generated Changes, Effective Group Behaviors.

Strategic Planning - In General

- ☐ Bates, Ralph. Trainer's Manual: How To Conduct a Development Planning and Management Workshop. Washington, DC: TransCentury, 1987. (For copies call Warren Wiggens at 703-351-5500.)
- ☐ Bryson, John M. Strategic Planning for Public and Nonprofit Organizations. San Francisco: Jossey-Bass Inc. Publishers, 1988.
- ☐ Cook, William T. Strategic Planning for America's Schools. Alexandria, VA: American Association of School Administrators, 1988. (Call 703-528-0700)
- ☐ Getting It Together:A Resource Guide for Developing Effective Youth Coalitions. Washington, DC: U.S. Department of Health and Human Services, 1991. DHHS Publication No. (ADM)91-1822, U.S. Government Printing Office.
- ☐ Goodstein, Leonard D. and Timothy M. Nolan, and J. William Pfeiffer. Applied Strategic Planning. San Diego: Pfeiffer & Company, 1992. (See attached Applied Strategic Planning Handout for quick reference to this resource. Call 619-578-5900 for information or to order.)
- ☐ Haynes, Marion. Project Management: From Idea to Implementation. Los Altos, CA: Crisp Publications, Inc., 1989.
- ☐ Heirs, Ben. The Professional Decision Thinker. London: Grafton Books, 1989.
- ☐ Sugerman, Jules M. Building Local Strategies for Young Children and Their Families. Washington, DC: Center on Effective Services for Children, 1993. (Call 202-785-9524)

Other Management Considerations

Evaluation:

- ☐ The Aid To Families in Poverty Program: An Evaluation Report for The McKnight Foundation. Minneapolis: April 1993. (612-333-4220)
- ☐ Evaluating Community Collaboration: A Guide To Self-Study. Washington, DC: Georgetown University Child Development Center, May 1985. (202-687-8635)
- ☐ A Guide to Evaluation for Skillman Foundation Grantees. Detroit: The Skillman Foundation, January 1992. (313-961-8850)

Information Management:

- ☐ Creating an Information Base for Program Collaboration. Washington, DC: Georgetown Uiversity Child Development Center, May 1984. (202-687-8635)

Staff Training:

- ☐ How To Organize a School-Based Staff Development Program. Alexandria, VA: Association for Supervision and Curriculum Development, 1993. (703-549-9100)
- ☐ Martinez-Brawley, Emilia E. with Sybil M. Delevan. Transferring Technology in the Personal Social Services. NASW Press, 1993 -- *Chapter 8, Mixing and Matching: A Blueprint for Planning the Change to Locality-Based Services.*
- ☐ Scott, Stephen and Karen Perlowski. Moving from Art to Craft: Conversations with Technical Assistance Providers on Building Capacity to Assist Comprehensive, Cross-Systems Reform. Des Moines, IA: Child and Family Policy Center, May 1994. (515-280-9027)

Total Quality:

- ☐ Bonstingl, John Jay. Schools of Quality: An Introduction to Total Quality Management in Education. Alexandria, VA: Association for Supervision and Curriculum Development, 1993. (703-549-9110)

Attachments

13.1 Senge's Definition of Collaboration

13.2 Managing Community Planning and Action Projects (pp. 1-26)

13.3 Action Planning Model

13.4 Baking a Cake

13.5 Model Collaborative Interview Guidelines (pp. 1-5)

Senge's work defines a collaborative as "a consummately adaptive organization." He further urges those involved in planning to consider 3 steps:

1) Define reality,

2) Identify the mental models, i.e. assumptions, and

3) Examine the systems or underlying patterns already in place before moving ahead.

Attachment 13.1

Peter Senge, The Fifth Discipline

Attachment 13.2
pp. 1 - 26

MANAGING COMMUNITY PLANNING AND ACTION PROJECTS:
A Series of Cases to Assist Senior Project Staff Think Through the Always Messy Process of Implementation

April 1991

Prepared by

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INSTRUCTIONS AND PURPOSES

In urban settings across the United States, social entrepreneurs are engaged in diverse initiatives aimed at exposing and ameliorating conditions that give rise to conditions of chronic, entrenched poverty. Typically, these efforts involve the creation of community-wide coalitions or special projects that try to bring various sectors of the community together. Under the auspices of these civic forums, advocacy research is carried out, social campaigns are mounted, and new programs and policies proposed and implemented. Although the focus of these reform efforts varies -- teenage pregnancy, homelessness, educational restructuring, child welfare, and so on -- the political and organizational skills demanded of local leadership will be generic and overlapping.

The following "case situations" are meant as catalysts to strategic thinking on the part of the men and women who operate (or plan to operate) urban reform movements. The cases are to be used in training sessions, executive education, peer exchanges, and technical assistance activities. None of this material is drawn from any existing initiative although much of it has been inspired by the struggles and accomplishments observed in the six cities that have been operating Community Planning and Action Projects with support from the Rockefeller Foundation in the past three years.

"The complexity of joint action" is the central theme of the case situations. Managing this complexity is a daunting task that requires intellectual nimbleness and adaptive competence. But if putting together and sustaining a social campaign is often a matter of seizing opportunities rather than following a blue-print, there are "exercises" that may help alert change agents to predictable processes and pitfalls.

The themes that are covered in these situations include:

Case 1 - Creation of New Organizations
Case 2 - The Role and Structure of a Community Board
Case 3 - The Initial Project: A Community Poverty Survey
Case 4 - Board-staff Relations
Case 5 - Developing an Action Agenda Part I
Case 6 - Developing an Action Agenda Part II
Case 7 - Mounting a Media Campaign
Case 8 - Institutionalization
Case 9 - Evaluation

There are no "right" answers to any of the questions posed here. Your job is to take the material that is presented and "fill in the blanks" with information about the communities that you come from, and then proceed to the resolution that makes most sense in your own circumstances.

Case 1 - Getting Started

Maria LaMancha, a Central City lawyer who has been active in community causes for over a decade, heard about a national foundation initiative to promote "coordinated community-wide efforts to combat the root causes of poverty." She contacted the foundation officials and obtained a copy of the grant announcement which set out the following goals:

- Identification of an organizational structure;
- Development of an antipoverty strategy based on a community-wide study of the nature and growth of poverty in recent years; and
- Leveraging of public and private resources to begin one or more concerted anti-poverty initiatives.

The first issue that she had to address was whether a new organization should be created to run the initiative or whether it should be carried out under the umbrella of an existing agency such as the local community foundation or United Way. Maria LaMancha decided to put together a Steering Committee of seven community leaders to resolve the matter and to serve as the cornerstone of the planning process. Besides herself, the group included:

- James Starr, a business leader who had been active in several public/private partnership initiatives in Central City;
- Dean Susan Smith of the local social work school, a woman with close ties to the human services establishment in Central City;
- Kenneth O'Donnell, publisher of the largest newspaper in the state;
- Michael DeLawrence, the head of the largest foundation in the state;
- Gerald Gross, the administrative assistant to the mayor; and
- An expert on antipoverty initiatives (you).

At the first meeting of the group, LaMancha outlined the foundation grant opportunity. She felt that creation of a new organization was necessary in order to give the anti-poverty initiative a clear identity in town and avoid the inter-agency jealousies that had hampered previous initiatives in the past. Smith and O'Donnell agreed that this made sense.

Starr took the opposite position, arguing that:

> The aim is not to create a new institution, but to forge personal bonds among the leaders of current institutions outside their normal patterns. A lot of time and money would be spent on creating a group that might be seen as -- and might in fact turn out to be -- a competitor to the many hard-working groups that are already addressing antipoverty issues in Central City.

DeLawrence and Gross agreed, with the former indicating that community foundations such as his have traditionally played the role of community convener, and could take on this new initiative with little or no additional funding for administrative costs. All of the national foundation money could then go for the actual projects to be funded.

LaMancha felt that the local community foundations and the Central City United Way were the last places that would be likely to get involved in things that would "shake up" the community, and that shaking up the community was what was needed. However, she did not share this feeling at the meeting for fear of offending DeLawrence.

The steering committee agreed to settle the issue by putting it to a vote. Following a show of hands, it was clear that three people favored each position and you have the deciding vote.

Discussion Points

1. Do you feel voting is the proper way to resolve this issue? If not, what kinds of steps might be taken to promote consensus?
2. If a vote were called, which way would you vote, and why?
3. What factors relevant to your community were influential in making this decision?

Case 2 - The Role and Structure of a Community Board

Ultimately, the idea of a new organization was adopted on the grounds that this project required high level attention from all participants and it would only be a side-line for any of the existing groups that could conceivably run it. It was obvious that the group would have to be set up as a non-profit organization in order to make it eligible to receive foundation funds, but the four community leaders were unable to reach a consensus on the size and structure of the board.

Maria LaMancha took the position that the goal of bringing people together would be furthered by selecting a large board with representatives from Central City's minority populations, social service agencies, foundations, The United Way planning agency, local universities, and the business community. Smith agreed, arguing that anyone who considered himself or herself to be influential and left off the board would become indifferent at best and an enemy at worst.

She added her opinion that it was particularly important to involve neighborhood leaders if the initiative were to portray itself as community-based.

As in the previous instance, James Starr disagreed, expressing the opinion that lean, tightly-knit organizations are more cohesive and maneuverable than broader-based bodies:

> A board of two dozen people would look good on paper, but it is hard to imagine such a group ever agreeing on anything of substance. Meetings would become public events and board members would not have the flexibility to take the kinds of positions that they might otherwise put forward in informal situations.
>
> I think we should have a board of six to ten people, each of whom brings individual stature, a network of affiliations to public officials and corporate CEOs in Central City, and a demonstrated ability to participate in group efforts to promote community change.
>
> If we truly want the board to function as a leadership body and not simply as window dressing, we have to limit it to the right people and keep it small.

O'Donnell acknowledged that smaller boards find it easier to come to decisions, but he also felt that a small board would be pretty much "the same old crowd" that had been involved in similar efforts in the past. Only a wider board would provide the opportunity to bring in new representatives and thus help to develop the Central City leadership of the 1990s and 2000s.

DeLawrence had been quiet until this point, but he then pointed out that it was hard enough for this group of seven to come to a conclusion, a bigger group would result in meetings that go on for ever and ever. As he put it:

> We need a Community Poverty Board and it will have to be a decision-making group, with the power to set an agenda and hold staff accountable to progress in achieving it. We can always set up a broadly-based advisory group, but it would be suicide to turn decision-making over to a group of several dozen. Why not keep the steering committee as the Board and leave it at that?
>
> I must admit that I am concerned about the issue of neighborhood representation as well. We ought to be using this effort as a vehicle to promote the growth and development of neighborhood leaders, but I don't think that there are any true neighborhood leaders out there right now who have the sophistication to play effective roles on the Community Poverty Board, and I don't know how to try to find them if they are out there.
>
> Therefore, I'd rather start out with a small board and later expand it after we get things off the ground and when good people from neighborhoods or other leaders make themselves visible to us.

LaMancha countered by asking:

> Haven't you ever heard of subcommittees? Lots of organizations work well with a large board as long as they have active subcommittees to make the decisions.

Two of the steering committee members had to leave within the next fifteen minutes and so the group decided, once again, to resolve the issue by putting it to a vote. LaMancha, Smith and O'Donnell voted for a larger board and Starr, DeLawrence, and Gross voted for the smaller board. Your vote is the deciding one.

Discussion Points

1. What are the advantages and disadvantages of having large and small boards?
2. Which way would you vote, and why?
3. What factors relevant to your community were influential in making this decision?

4. How can one identify authentic "neighborhood leaders" for possible inclusion in a board?

5. Are there any important sectors of influence that were not included in the proposed seven person Board that you would want represented if this were your community?

6. Should membership on the Board be purely on the basis of getting the best group together in terms of decision-making or should it also be a reflection of the kinds of messages that you want to send to the community, to the national foundation, and to other potential funders?

Case 3 - The Initial Project: A Community Poverty Survey

The idea of a small board carried the day with members of the original planning group forming its membership. The newly constituted body then selected LaMancha to be the executive director and authorized her to begin to hire staff.

At this time, the board also decided that the first major activity to be undertaken would be development of a "poverty profile" of Central City and its neighborhoods. A quick review of the available literature showed that there was a good deal of scholarly work about the changing nature of poverty in the United States, but surprisingly little about poverty in Central City.

The group quickly agreed that a crucial first step was documenting the geographic extent and the community impacts of local poverty conditions. It was hoped that the results of such an investigation would help ground subsequent action strategies in fact rather than conjecture. Furthermore, impartial, professionally constructed research would likely enhance the status of the Board, positioning it to serve as broker of the knowledge it had helped to develop.

After several weeks of meetings with possible candidates to head up the research, LaMancha signed a consulting agreement with Dr. Jose Ortega and his colleagues at the Center for Local Studies at a nearby university. Ortega was a prominent Hispanic community leader as well as a researcher who had conducted a number of well-respected studies of Hispanic youth employment, but who did not have any experience in conducting community-wide poverty studies.

The study was completed on schedule within six months and documented the fact that the number of city neighborhoods with large numbers of families in poverty had been increasing over time, and the increases in poverty were paralleled by increases in infant mortality, child abuse, high school dropouts, welfare receipt, and street crime. The preliminary results showed that the growth in poverty was not evenly distributed throughout the city; neighborhoods, in particular, had experienced massive declines, one of which had a large black population, and another with significant numbers of newly-arrived Hispanics and Cambodians.

LaMancha, the executive director of the project, felt that the study and its findings should be reviewed by a few leading academics at area colleges and universities before it was submitted to the Community Poverty Board or released to the public. She wanted to make sure that the study was done at the highest levels of professionalism and did not include any methodological elements that could lead to controversy which would overshadow the findings themselves.

Much to her surprise, two of the three academics who reviewed the report criticized the project on several grounds:

- First of all, they did not like the use of 1980 Census Data. Both argued that it would be better to wait a year or two and base it all on 1990 Census data which should be available at that time.

- Secondly, they objected to Ortega's simple "index of hardship" that attempted to combine data on such disparate factors as dropout rates, adolescent pregnancy rates, unemployment rates, infant mortality, low income, poor housing, and street crime into a single number.

At a meeting with the academics, Dr. Ortega argued that the basic patterns of poverty have not changed much in Central City in the past decade, and anecdotal data suggested that things were getting worse. In addition, it was his understanding that further research would only provide data to show what everyone knew, that each element of the index of hardship was getting worse. Why bother waiting, he asked?

LaMancha took a different tack, noting that a good deal of work had gone into the study and she had already recruited two staff to begin working with neighborhood groups to begin to translate the findings into an action program. Delay of the release of the study would destroy hard to develop momentum. Also, it was important to use the study to provide credibility for the project in the eyes of the community and conducting more research would postpone this critical "credentialling" effect.

The academics remarked that they understood her reasoning, but they could not in good faith endorse the study methodology if it were based on data that were a decade old, and "ad hoc indices." If media asked for their opinion, they said they would be obliged to share this opinion.

Ms. LaMancha remained unconvinced by the academics but felt that this issue was so important that it should be addressed by the Community Poverty Board. She agreed to prepare a brief paper for Community Poverty Board members outlining the pros and cons of delay without indicating which side of the argument she endorsed.

Discussion Points

1. Was Ms. LaMancha correct in taking the issue to the Community Poverty Board rather than resolving it herself?

2. Was she correct in presenting the pros and cons without indicating which way she wanted to go?

3. What should the Community Poverty Board do? How can it balance the academics' desire for best possible data and the activists who keep trying to "get things moving today?"

Case 4 - Board-Staff Relations

Much to her surprise (again), LaMancha discovered that the Board members were quite nervous about the results of the study for reasons that went far beyond the data base. In particular, several board members felt that release of the study would put Central City in a bad light, and discourage both business and tourism. O'Donnell was the leader of this group, saying:

> My newspaper is already full of things that we can't avoid publicizing -- fires, murders, rising unemployment, and political scandals. It wouldn't be good for my advertisers in the big downtown stores or anyone else in town to reinforce what everyone already knows: that things are rough in the area just beyond the shopping district.
>
> I think we should cut back on the study and focus on the need for a specific service like day care *and* the good things that can come from some of the outstanding child care projects that we already have in town. Then we could use the results of the study to go forward on an effort to bring the community together around improved pre-school programming. Let's focus on neighborhood assets and resources, not on problems.

LaMancha responded that the research would help to legitimate the project and give its leaders the credibility they needed to challenge the status quo and promote change. As provider of the research, the Community Board would be in a position to help shape the debate on the issues for the next few years.

Gross, of the mayor's staff spoke for the first time of the evening, disagreeing with LaMancha and supporting O'Donnell:

> It seems to me that we do not need any more research on the topic of poverty. Everyone knows it exists. What we really need research on is ways to deal with it at a time when municipal budgets are under increasing pressure in the face of cutbacks at the state and federal levels.
>
> Anyway, you are not going to impress anyone in the Mayor's office with either this report or any report on poverty. The Mayor is the first African-American to serve as chief executive of Central City; he grew up in the poverty neighborhoods of the city and doesn't need any fancy studies to tell him what it was and is like to live there.
>
> The Mayor doesn't need to read your report, and I doubt that people in the human services agencies or the neighborhoods would be surprised by any research that we could do. If we can't find a good audience for our research, why invest *any* more resources?

LaMancha dug her heels at this point and began to lose her temper. She sharply replied that any efforts to water down the community study would represent a perversion of the intent of the grant that was supporting the project:

> This is what we set out to do, and if we take any other course of action, I am not sure that I will be able to stay on as executive director.

As it turned out, all of the board members (except perhaps you) went against LaMancha and decided to table any further work on the study and simply use it as background material for a more focused information gathering effort. The subsequent effort focused on early childhood education and child development, issues that were near the top of the priority scheme in Ortega's report and which had the potential to bring about broad support. Child development appealed to middle class voters as well as to poverty advocates. It was a topic that was not tainted in any way with the "poverty image."

LaMancha kept complaining to several Board members that the decision was "dead wrong" and that she was unsure if she could continue with the project. However, she never formally submitted a resignation.

Discussion Points

1. Do you feel that the Community Poverty Board came to the proper conclusion with respect to the research? Would you have come to a different conclusion if this were your community?

2. How should a poverty program balance the need for good research with the need to develop action-oriented programming?

3. What action -- if any -- should the Community Poverty Board or its individual members take in response to the threat of resignation? Would it be better to try to avoid a confrontation with LaMancha over resignation, or would it be healthy for the organization in the longer run?

4. What factors relevant to your community were influential in making these decisions?

5. How and under what conditions can community research be used effectively as a tool of social change and mobilization?

Attachment 13.2

Case 5 - Developing an Action Agenda - Part I

After the child development report was completed, the Community Poverty Board held a series of six "dinner seminars" to share the results with "key actors from all segments of the community," including executives of leading businesses, elected officials, human service professionals, educators, neighborhood leaders, executives from the media, clergy, representatives of the minority community, and other civic leaders.

The seminars consisted of cocktails, dinner, and an after dinner presentation and group discussion on the results of the background poverty report and the child development research. Discussion was focused on the findings and methodologies as well as implications for developing future activities of the Community Poverty Board.

Issues were debated but not resolved. But consensus was reached on one point; not since the early 60s had such a group convened to address problems of poverty -- the root cause of so many of Central City's ills. This was a significant accomplishment in and of itself.

A joint meeting of the Community Poverty Board and staff was held to decide what steps should be taken next. Dean Smith of the social work school suggested that the best thing to do was to build upon the foundation laid by the initial meeting. Her idea was to find a program structure which could accommodate continued meetings and then to extend the process of building community consensus on the nature of poverty and the steps reached to overcome it.

Her suggestion was creation of a Community Poverty Commission which would include representatives from each of the sectors that had attended the dinner seminars. The commission would be given a mandate to hold public hearings, hold focus groups with a cross section of residents of the neighborhoods most impacted by poverty, and to work with the media to raise the profile of poverty issues.

O'Donnell noted that this was an approach that the media could easily support, and that the hearings would inevitably be well covered in the newspapers and electronic media. Gross added that he felt that the Mayor of Central City would be delighted to be the "kick off" witness at the first hearing.

It looked like there would be unanimity until the business leader, Starr, spoke up. He said that he was as supportive of process as anyone, but from his point of view it was time to start doing things:

> Enough is enough. We will never know everything and we can never hope for total consensus. So let's get going and do *something*, anything that will show people that we mean business and can make a difference.

LaMancha agreed, citing what she called a "growing skepticism" towards the entire effort, and offering the following letter to the editor of the Central City Time as evidence:

> *TO THE EDITOR:*
>
> *Agencies that provide food, clothing, and shelter to homeless people are cutting back on services and laying off staff while the Community Poverty Board blithely continues on its efforts to "better understand the problem" and develop a consensus about the proper "decision-making structures" for future efforts. Who needs it? We all know what needs to be done. The time for action is now!*
>
> *It is unconscionable that foundation funds are being used to support social engineers making $50,000 a year or more when workers in shelters are being laid off, shelters being closed, and more people forced to sleep on the streets. It is absurd to keep funding "dinner seminars" at the Central City Marriott while food pantries are closing and hunger is growing.*
>
> *Wouldn't it be nice to spend some money on a project that really helped low income people to better themselves?*
>
> *Jacqueline Shire, A.C.S.W., Director*
> *Central City Shelter Associates*

When asked what she would recommend instead of the Commission, LaMancha suggested that the group try to develop an initiative related to early childhood education and/or child development, the two areas that were rated the highest in the poverty survey and were described in the second report. In addition to this, she added that the issues had the potential to unite the entire community and not isolate the poor. Children issues unite suburban and inner city families.

DeLawrence responded that there was "no genuine consensus that this was the highest priority. Self-appointed 'advocates,' claiming to speak for the community, have no real public mandate." Furthermore, he argued against the project getting into the action business -- "this means competition with direct service providers. I thought the goal is to keep the poverty issue on the front burner and to show how it accounts for so many manifestations of persistent poverty in the community."

As usual, LaMancha had the last word:

> I don't know about the rest of you, but I have to face the representatives of the national foundation that funded us, and our colleagues in other cities. I want to be able to show them that we have done something more than just hold meetings.

Why can't we adopt both strategies simultaneously?

Discussion Points

1. What are the benefits that can accrue to a community from the development of an effective Poverty Commission that brings leaders from government, business, philanthropic, and social service organizations together with neighborhood groups? What about the trade-offs and potential pitfalls?

2. What factors should the Community Poverty Board take into account in deciding whether to adopt the Poverty Commission as its primary focus, as opposed to developing a strategy that will (hopefully) result in some tangible impact on early childhood services in the community in the next six months? Are these compatible – in conflict?

3. How can the committee decide when to cut back on consensus-building, and invest more time and energy in launching an action initiative? Who should run the action initiative and how can the project be both a convener and, perhaps, provider of social services?

4. What factors relevant to your own community would influence these decisions?

Case 6 - Developing an Action Agenda Part II

The Community Poverty Board elected to go ahead with a two-pronged agenda, stressing both the mobilization and convening activity of the Poverty Commission and some new early childhood education initiatives in particular neighborhoods. During the next few months, three Board members came to LaMancha to tell her about other relevant activities in town and the role that Community Poverty Board staff could play in affecting them. In each case, she asked them to prepare a short memorandum outlining their ideas. As a result, the following three memoranda were received:

TO: MARIA
FR: GERRY

The State has been threatening to put our school system into receivership as a result of mismanagement. The Mayor will be appointing a citizen's inquiry committee to look into the management of the school system and come back with recommendations within six months. Most people in the community are known to favor one position or another on these issues; given your stature in the community and absence of "baggage" in this regard, we feel you would make an excellent co-chairperson for the group.

We know you are busy, but we feel that the responsibilities of co-chairing the group should not take more than a few hours a month, and thus not interfere materially with other initiatives that the Community Poverty Board is undertaking. On the other hand, your visible leadership on this group would promote your own stature and that of our Board.

Let me know what you think as soon as possible.

TO: MARIA
FR: SUSAN

As you probably know, our state is beginning to implement the federal welfare reform JOBS legislation and is setting up a community advisory committee for the Greater Central City area. The advisory committee will include civic leaders, managers from the welfare department and local education and job training agencies, and the client community.

The State has already put the committee together and I have agreed to serve as the local chairperson. However, there is no money to cover staff support. Do you think you can spare four hours a week of time of one of your two staff members -- preferably Robert? His facilitating skills and research skills could make the difference between the success and failure of the group, and its success could go a long way towards making a dent in poverty in Central City?

Please get back to me as soon as possible with your reactions to this idea. I really do not know anyone else in the community who could provide this kind of support.

TO: MARIA
FR: JIM

As you know, I have been serving as chairperson of the Central City Housing Partnership for the past three years. The Partnership has put together a task force on homelessness and economic development for public housing residents that includes several bankers, the mayor, the Dean of Students from Central City Community College, board members and staff from several Community Development Corporations, and the owner of the Central City Titans basketball team.

However, the group does not have any direct ties to the Central City black, Hispanic, and Cambodian communities, and we would like to involve you or some of your staff in setting up forums that link our Partnership leaders and representatives of those communities.

Achievement of the goals of the Housing Partnership would bringing affordable housing to thousands of Central City residents, and thus go a long way towards achieving the goals of the Community Poverty Board. I do not anticipate that the time demands on your and your staff would be very much.

Please let me know what you think, and how soon we can begin to work together on this effort.

LaMancha read all three memos to the members of the Community Poverty Board at the next meeting, and suggested that it would not be appropriate to respond favorably to any of them. She advanced several reasons for this:

- "First of all, we only have three full time staff, and our hands are already full trying to getting the Poverty Commission and early childhood education initiatives off the ground. I'm afraid that the time commitments in all three memos are understated and our commitment to even one of them could jeopardize our ability to achieve *anything*. We can't responsibly do anything that risks spreading ourselves too thin."
- "Secondly, none of these activities would be carried out under the banner of our committee. All of them have the potential to help overcome the factors that promote poverty, but our organization is a new one, and we need to focus on efforts that will help generate visibility and a clear identity for our group in public. Visibility is a key to future support for the Community Poverty Board when the national foundation support runs out, and we have little hope of making a long run difference in town unless we can become institutionalized."

Gross, Smith, and Starr each agreed with the general point of view addressed by LaMancha, but argued that their own case was a reasonable exception -- a low resource initiative that could provide major pay-offs in terms of "making a dent" in poverty in Central City. "What harm can come of it?" each of them asked in slightly different words. Finally Gross said, "I am beginning to worry a little about you, Maria. I wonder if your goal is really gaining publicity in the media at the expense of the behind the scenes work that can *really* make a difference."

Neither of the other two board members spoke up in favor of either LaMancha's position or that of Gross, Smith, and Starr. It appeared that the issues were becoming personalized and they did not want to take a stand that would alienate anyone. Quietly, they wondered about the trade-offs between going with opportunities as they emerge and sticking with a strategic plan.

LaMancha was not convinced by Gross, Smith, and Starr. But she was concerned that rejecting their advances might cause one or more of them to lose interest and risk their active support and participation in the Community Poverty Board.

She asked for a brief intermission in the board meeting and calls YOU aside for a quick conversation.

Discussion Points

1. What advice would you give LaMancha on the merits of the issue?

2. How important is LaMancha's concern about trying to avoid alienating people who have been solid board members in the past?

3. If LaMancha said she wanted to go ahead with one of the three initiatives mentioned in a memo, and asked you which of them would be the best bet, how would you decide -- and why? Should a decision be made on the merits of the issue or as a result of which Board members made which proposals?

4. What are the characteristics of your community that would affect the answers to these questions?

Case 7 - Mounting a Media Campaign

TO: SILVIA MIRANDA, PROJECT CONSULTANT
FR: MARIA

Silvia, for most of the past year we have struggled with the "program focus" issue. I think we have the confidence now to turn to the possibility of running a media campaign in Central City to place persistent poverty in a broader, civic context. In this memorandum, I review our thinking and the many questions we have about whether and how to proceed. I need you, as our consultant, to manage a process that will help us determine what to do next.

* *

WHAT WE WANT: Raising awareness. Changing attitudes. Creating change.

The three go hand in hand, and in Central City -- where poverty and its ravages are often not as dramatic visually or as entrenched as in bigger cities -- we have learned that there is not yet a jaded attitude among the public about the poor and issues of poverty. The collective consciousness in Central City is, then, not so much resistant to new ideas as cut off from them. There are real opportunities to sow the seeds of change.

That ground hasn't yet been tilled by the Poverty Project because our efforts in our first year has been concentrated on establishing relationships and momentum among professionals in the topical areas where we concentrate our work. As you know, we have been active in early childhood education, maternal and child health, and, recently, economic development.

Having successfully established those relationships, and as we gain momentum among professionals in these areas, we realize we must now broaden our scope -- and reach beyond that small circle of people already working in poverty-related areas. It is time to reach the general public.

Indeed, our aim is to trigger a massive groundswell of interest and commitment among the public in Central City for the poor and the problems they face. We would like to mobilize the public to respond with action and solutions -- not just with emotion.

To that end, we have started efforts to design a public awareness/media campaign by taking these initial steps:

- *At the suggestion of Ken O'Donnell, I met with the editor of the News, the state's largest daily newspaper. His concerns were twofold: that readers quickly grow weary of a daily diet of "sob" stories about poor people, and that reports on poverty or poor people don't change or solve anything. As he put it, "it's not enough to talk about problems -- you have to show people how to solve them." His concerns confirmed our fears that our vision for a public awareness campaign -- one that raises awareness and gives a voice to poor people -- may be too small and too narrow.*
- *We talked with neighborhood residents in the two areas where the project has concentrated its activities about our idea to launch a campaign. Specifically, we presented to the groups our idea to conduct regular polls of Central City area residents on issues of poverty. Response to the idea was mixed, with some worrying that poor people without phones wouldn't get polled. Two other ideas were also presented to the neighborhood groups: (1)*

(1) Town Meetings to raise issues of poverty and (2) Publication of a Poverty Fact Sheet to be widely distributed among policymakers, service providers, non-profit groups, and the public.

Again, feedback was mixed. Some pointed out that poor neighborhoods in Central City are "overscheduled" with meetings. Others worried that issues and questions will be raised at the meetings that the Project can't answer. As for the Fact Sheet, there was concern that compiling yet another set of statistics on poverty will neither make life better for poor people or present solutions for change. Some, however, believed that policymakers could make use of a Fact Sheet as they design interventions and other responses to poverty.

- *We also met with local pollster, Bob Cohen of Cohen & Associates, about the polling idea. His response, based on his orientation as a political pollster, was that our reasoning for conducting a poll was faulty. In particular, our concern about giving poor people a voice is a noble one, he said. But, it shouldn't override the smarter goal, which would be to change public attitudes to respond to them. As he put it, giving poor people a voice is a whole other campaign altogether – and perhaps not the most important goal to pursue. "You may be mixing two separate agendas."*

- *I heard a presentation in Central City by media whiz, Fred Boyle, who pointed out that media partners, like local newspapers or TV stations, must be shown what's in it for them.*

  Boyle also made the very salient point that the goal of a media campaign is not just to raise public awareness – it's to create some measurable intervention that creates change.

- *Finally, our staff met with sociologist/demographer, David Reardon of Central City, on the polling idea who reminded us that the polling process is extremely expensive, particularly when you consider, for example, that 30 percent of poor people in the Central City metro area don't have phones.*

Silvia, I'm looking forward to your help in setting us on the right course.

DISCUSSION POINTS

You are Silvia Miranda, project consultant. You are asked the following questions:

1. WHERE SHOULD THE PROJECT GO FROM HERE?

   Questions that will need to be answered before proceeding are:

   - What exactly is the intent? To raise awareness? To change attitudes and behaviors? To trigger change and solutions?

- Where do they start? What kinds of people, resources do they need to consult to plan a massive awareness/media campaign? Public relations agencies? Ad agencies? Media consultants?

- How narrow or broad should the focus be? Poverty in general? Or should they look at a focus on several poverty-related issues?

- Which audience is the most important to reach? Policymakers? The general public? Business community?

- Should they alone conduct the campaign, in partnership with local media organization(s), or should they partner with other agencies, foundations, governments, etc.?

- How can they sell the idea to a major media organization(s) in town?

- Is it more important to give the poor a voice as part of this campaign, or is that just a noble gesture that's not very effective, or will it help them achieve our goals?

- What about polls? Are polls a good way to test attitudes about poverty? Do they help assess the effectiveness of the Project and its initiatives?

- How should the Poverty Project present itself? Is "poverty" in the name a turnoff?

- Should a campaign be restricted to Central City or should it embrace the metro area?

- How much, or how little, should a campaign cost?

- How long should it run?

- How can they measure its effectiveness?

Case 8 - Institutionalization

A year and a half has passed and only six months of funding from the national foundation remain. The Community Poverty Board has written to the national foundation for a third year of funding but just received the following letter:

April 28, 199x

Community Poverty Board
Central City

Attn: Maria LaMancha

Dear Sirs and Madams:

We have received your request for third year funding but regrettably, we will not be able to comply. As you will recall, our initial commitment was for only two years, and the other pressing demands upon our foundation make it unlikely that we will be able to make any exception to this rule.

It is important that you realize that this decision is in no way a reflection of the fine work that you have been doing. We remain pleased with your accomplishments to date and stand ready to assist you in any way we can in your efforts to find alternative funding sources.

If there is any other way we can be of assistance to your project, let's get together to explore the possibilities.

Sincerely,

Lillian Walsh
Executive Director

Needless to say, the letter caused considerable disappointment among the board members and staff of the project. An emergency joint meeting was called to address the situation. As expected, DeLawrence indicated that the City was supportive of the efforts but could not provide any direct funding at a time when a sluggish economy was reducing tax revenues and forcing layoffs of municipal employees.

Dean Smith injected a positive note by describing a potential funding source, a grant program from the US Department of Health and Human Services, Office of Substance Abuse Policy (OSAP). According to the grant announcement, OSAP was holding a competition to fund community boards that focused their primary attention on efforts to educate young people about the health hazards associated with drug abuse. The Community Poverty Board could probably qualify, she said, if it cut back on efforts that the federal government might characterize as "lobbying," such as the media campaign. Award of the OSAP grant could guarantee another two years of life for the project.

O'Donnell, and DeLawrence were both skeptical. In their opinion, abandonment of activities that might be construed as lobbying would change the entire nature of the project at best and emasculate it at worst. As O'Donnell put it:

> Are we really willing to sell our soul just to keep the project alive? We have stimulated a detailed research effort followed by extensive community consultation in order to come up with our policy priorities, and despite the importance of drug abuse prevention, it was not ranked as one of the top three priorities. How can we switch our priority to the drug area and still claim that we are a research and community-based project?
>
> I think what we should do is start a broad fund-raising effort to local foundations, local businesses and to the public at large to try to get the money to keep our current efforts going.

DeLawrence thought this was the right direction to move in, but cautioned that the foundations in and around Central City were receiving an unprecedented amount of funding requests to meet a broad range of social concerns, and he did not feel optimistic about the likelihood that either his foundation or even a consortium of local foundations could fill the full gap left by the termination of funding from the national foundation. Moreover, the Poverty Board would then be in direct competition for funding with some of the groups it represents. DeLawrence felt that was not a good situation.

LaMancha took a different tack by arguing in favor of applying for the OSAP funds as a way to reduce concerns about project termination among her staff.

> Surely, any one in this room would agree that substance abuse is a major factor, if not contributor, to the growth and perpetuation of poverty in the inner city. Surely adoption of a substance abuse campaign as a major focus would not represent abandonment of the goals we set out to fulfill when we first started the project.

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> I have learned the hard way that we've got to respond to new possibilities. If someone calls me opportunistic, so be it. We've put a good group together, and developed excellent ties to everyone in the community from homeless advocates to the leaders of politics and industry. What's wrong with taking on new responsibilities that will help to make sure that we are around to fight another day.
>
> Let's spend a month trying to find alternative sources of funding and if we are not successful, lets go ahead with OSAP proposal.

Two months passed, and a commitment for $25,000 was obtained from a community foundation, and a local business contributed another $10,000. However, this was far short of the $250,000 needed to keep the project going at its current level of effort.

Discussion Points

1. Should the group go forward with the OSAP proposal?
2. More generally, how far should a community antipoverty initiative depart from its intended agenda in order to obtain funding?
3. Is there anything that the Community Poverty Board should do with respect to the national foundations offer that "If there is any other way we can [illegible] of assistance to you, let's get together?"

Case 9 - Evaluation

James Starr and Kenneth O'Donnell are members of the Community Poverty Board and close personal friends.. People often joke that some of the most important decisions in Central City are made on the golf course and this is exactly where Starr, the businessman and O'Donnell the newspaper publisher, develop an idea:

O'Donnell, after missing a critical putt on our third hole, tells Starr,

> Did I ever tell you that I know the Vice President of the national foundation that has been funding anti-poverty initiative here? He used to be a newsman before moving on to public affairs. I am sure he wouldn't want to do anything to embarrass his program officer but I bet I could get this decision to drop funding of the project re-examined. What do you think?

Starr replies, "I think it is a great idea and the sooner the better."

O'Donnell checks out the idea with LaMancha, calls his old friend Donald Harris, and an appointment is set.

Before the big meeting takes place between O'Donnell and the national foundation VP, the publisher asks LaMancha for every bit of documentation she has about the project's successes and accomplishments in the first two years. He asks especially for credible, objective evidence because he remembers Harris as being a rather tough, unflappable newsman. This guy likes expert testimony.

LaMancha replies, "To tell you the truth, we really don't have much by way of *outside* documentation. I can give you lots of narratives that we have written about ourselves, but we don't have an outsider's look at our performance. I did think about it, but I put it on the back burner for several reasons. First, I couldn't justify using scare dollars to evaluate ourselves so early in the process. Second, I wasn't really sure what to evaluate since part of our job, as a community coalition, is to help establish and figure out an agenda and strategic approach. That takes time. Even if I knew what I wanted evaluated, I am not sure there are good ways to measure it. How do you measure how we help local groups develop capacity or how we have helped put persistent poverty on the community agenda? Also, between you and me, I really can't stand these academic evaluation types. They talk a different language than us and usually try to hold projects like ours accountable to a yardstick that does not reflect who we are, what we are all about."

O'Donnell answers, "Yea, I understand, but what can I show the Vice President of the foundation?"

Discussion Points

1. Was the absence of outside evaluation information a mistake?

2. What can and should O'Donnell say to the foundation about performance?

3. Looking back, what type of evaluation might have been helpful? Who should have done it? What would it have looked like? Would it have to be expensive?

4. In your community, how important is documenting, monitoring, and evaluating social initiatives?

5. Can campaigns be measured in the same way we measure direct service programs?

Attachment 13.3

OVERVIEW OF ACTION PLANNING MODEL

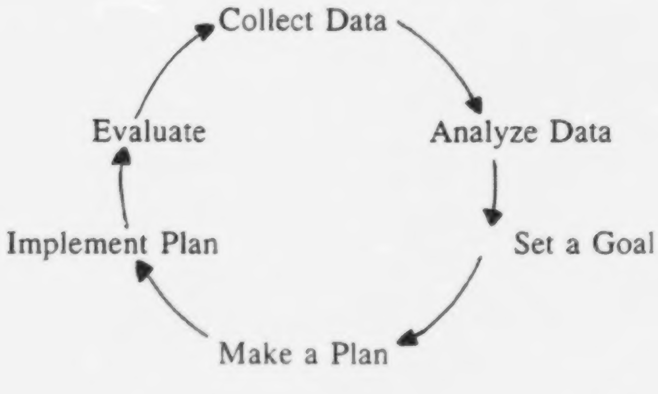
Good Leadership involves understanding and using Action Planning. The goal: to learn and to practice the Action Planning Model.

Conducting the Activity:

Step 1- Trainer explains the many uses of Action Planning.

- Action Planning:
  - to plan and to manage a development project
  - to make plans for training
  - to plan and manage groups and organizations
  - to bake a cake, sew a dress, plant a garden
  - to *solve a problem*

Step 2- Trainer reviews the stages in Action Planning.


Collect Data
Analyze Data
Set a Goal
Make a Plan
Implement Plan
Evaluate

The Stages of Action Planning

Stage One:	*Collect Data -*	Data are facts about a certain subject. Data is collected in order to gather information and to involve people in a project.
Stage Two:	*Analyze Data-*	Data is analyzed in order to organize the facts; to identify specific problems; to decide if a project *can* or *should* be initiated and to select a suitable project.
Stage Three:	*Set a Goal for Work-*	Goals are set in order to understand exactly *what* you plan to accomplish; *who* will accomplish it; *when* it will be accomplished; and *where* it will be accomplished.
Stage Four:	*Make a Plan for Work-*	Plan are made in order to identify the necessary tasks; the resources needed; the person(s) responsible; and the time line in which the tasks will be completed. The plan enables you to keep track of every aspect of the project.
Stage Five:	*Implement Plan-*	Involves the actual doing of the work necessary to complete the project- carrying out the tasks identified in stage four.
Stage Six:	*Evaluate-*	Evaluation is conducted to determine if the stated goal was reached and if the action plan was adequate and correct. No project, large or small, is complete until it has been evaluated. Without evaluation errors cannot be identified and corrected and successes cannot be replicated. The two types of evaluation are formative and summative.

Attachment 13.4

An Action Planning Example

Baking a Cake

Stage One: *Collect Data-*

To bake a cake you must first gather certain facts:
- what kind of cake do people want?
- what ingredients and resources are necessary?
- who is willing to help?

Stage Two: *Analyze Data-*

To analyze the data for baking a cake you must decide:
- which ingredients/resources do you have and which must be purchased/arranged;
- how much time is needed to shop and prepare;
- who is available to shop for ingredients and prepare the cake?

Stage Three: *Set a Goal for Work-*

A goal for baking a cake could be:
- by 4:30 on Friday the Women's Guild at All Saints will have baked a one kilogram banana nut cake.

Stage Four: *Make a Plan for Work-*

The plan for baking a cake could be:

TASK	*RESOURCES NEEDED*	*ESTIMATED COSTS*	*FUNDS RECEIVED*	*PERSON(S) RESPONSIBLE*	*DATE DUE*	*DATE COMPL.*
purchase ingredients	list of ingredients, transport to shop, money	63 KS	yes, full amount	Catherine and Hope	Tues.	
assemble ingredients and equipment at Risper's house	cake pans, mixing bowls, spoons, ingredients			Risper and Elise	Wed. p.m.	
mix and bake cake	oven, time, person			Risper	Thurs. a.m.	
take cake to church	transportation and person			Lilian	Fri. a.m.	

Stage Five: *Implement Plan-*

This stage involves mixing, baking and taking it to the church.

Stage Six: *Evaluate-* An example of formative and summative evaluation of baking a cake follows:

Formative:

- Were all the necessary ingredients purchased on time? If not, why not?
- Were the ingredients and resources assembled at Risper's house on Wed. P.M.? If not, why not?
- Did Risper bake the cake Thurs. A.M.? If not, why not?
- Did Lilian transport the cake to the church Fri. A.M.? If not, why not?
- Do you need to change the action plan?

Summative:

- Was the one kilogram banana nut cake available for the celebration at All Saints Church at 4:30 P.M. on Fri.?
- Did the cake taste good and if not, why not?
- If the Women's Guild had to provide another cake for a future celebration, what changes would they make in the *NEXT* action plan?

adapted from Women in Development

MODEL COLLABORATIVE INTERVIEW

Your Task: to become very familiar with at least one collaborative you do not already know about. This is an individual, not a team, assignment.

Every person should select a different collaborative to investigate. You can sign up today on the posted sheet of State and National collaboratives.

Your Assignment involves the following steps:

- Use the attached sheet with stimulus questions to plan an interview with a representative of a collaborative of your choice.
- Call to arrange an appointment of 30 minutes to an hour for a telephone interview or visit. (Please note: the contact persons listed for each model collaborative may or may not be the most appropriate person to interview. You will need to determine this when you make your initial call.)
- Conduct the Interview.
- Request any written documents available, such as
    - brochures
    - interagency agreements
    - proposal
    - marketing materials
    - membership lists
    - vision or mission statement
    - goals and objectives
    - strategic plans
    - budget
    - ground rules for collaborative work
- Prepare a 2-5 page description and analysis of the collaborative, utilizing the headings from the format to summarize what you have learned.
- Prepare a 5-10 minute presentation on the collaborative for the Fellows. We will have several of these reports at each of our future meetings.

SUGGESTED QUESTIONS AND SUMMARY REPORT FORMAT FOR MODEL COLLABORATIVE INTERVIEWS

BACKGROUND INFORMATION

1. Name of the collaborative

2. Location

3. Contact person(s) you talked to, address and phone number

4. Date the collaborative was established (how long it's been in existence)

5. Brief summary of the collaborative - its purpose

ENVIRONMENT/CLIMATE FOR CHANGE

6. How and why did you get together?

7. What aspects of the environment were conducive to collaboration?

8. What degree of support did you have from political leaders, agency heads, other key leaders, the general public, etc? Which elements were most supportive of this effort?

MEMBERSHIP

9. Who is represented on your collaborative? For those representing organizations, what level in the organization do they represent?

10. How were the members selected?

11. Does this membership include representatives from each segment of the community that is affected by the activities of the collaborative?

12. What degree of understanding and trust has developed among members? How long has this taken?

13. How willing have members been to cross traditional institutional boundaries? Have turf issues been a problem?

PROCESS/STRUCTURE

14. How is the collaborative organized/structured?

15. To whom is the collaborative accountable?

16. Who provides leadership for the collaborative?

17. How are decisions made in the collaborative? Does every level (upper management, middle management, service provision) within each organization in the collaborative group participate in decision making?

18. How flexible is the collaborative in its structure and methods?

COMMUNICATION

19. What informal and formal comunication links do members of the collaborative have with each other?

20. How has conflict been handled within the collaborative?

PURPOSE

21. Has the collaborative developed a shared vision? What is it?

22. What are the primary goals and objectives of the collaborative?

23. Has a strategic plan for implementation been developed? If so, in generalized terms, how was it developed?

24. Has a set of outcomes been defined for the collaborative? What are they?

25. What have been the results of the collaborative so far?

26. Is the collaborative being evaluated? By whom and how?

FUNDING

27. What is (are) the source(s) of funding for your collaborative?

28. In what ways have resources been shared among the collaborative?

REFLECTIONS

29. What accomplishments of the collaborative are you most proud of?

30. What have been the chief obstacles you have faced?

31. What do you think are the greatest strengths and weaknesses of this collaborative?

32. What are the key lessons you have learned from your involvement in this collaborative?

33. What do you think are the key elements that contribute to successful collaboratives?

NATIONAL COLLABORATIVE MODELS

CALIFORNIA
San Diego New Beginnings
Jeanne Jehl
Administrator on Special
Assignment
San Diego City Schools
4100 Normal Street, Room 2220
San Diego, CA 92103-2682
(619) 293-8371

FLORIDA
Florida Full Service Schools
Lynn Groves
Office of Interagency Affairs
Florida Department of Education
Suite 126
Tallahasee, FL 32399
(904) 487-8520

GEORGIA
Savannah-Chatham County Youth Futures
Authority
Otis Johnson
Executive Director
Youth Futures Authority
128 Habersham Street
Savannah, GA 31404
(912) 651-6810

KENTUCKY
Kentucky Integrated Delivery System
(KIDS) and Family Resource Centers
H. Gippy Graham
Department of Education
Capitol Plaza Tower
Frankfort, Kentucky 40601
(502) 564-2117

MICHIGAN
Smart Start
Libby Richards
Mott Children's Health Center
806 Tuuri Place
Flint, MI 48550
(313) 767-7419

MISSOURI
Walbridge Caring Communities Program
Khatib Waheed, Director
5019 Alcott
St. Louis, Missouri 03120
(314) 261-8282

NEW JERSEY
New Jersey School Based Youth Services
Program
Roberta Knowlton
NJ Department of Human Services
CN 700
Trenton, NJ 08625
(609) 984-7380

NORTH CAROLINA
Cities in Schools
Cynthia Marshall, Ex. Director
525 N. Tryon Street, Suite 200
Charlotte, NC 28202

WASHINGTON, D.C.
Washington, D.C. Early Childhood
Collaborative
Barbara Kamara, Director
Office of Early Childhood
Development
609 H Street, NE, Suite 400
Washington, DC 20901
(202) 727-1839

FINANCING COLLABORATIVES

Examining funding streams to support collaborative initiatives.

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Financing should reflect and reinforce a new set of principles and characteristics for service delivery, and should be driven by a compelling and well-conceived program agenda. -- Frank Farrow

GOAL

To examine funding streams (systems and categories) that will support collaborative initiatives.

OVERVIEW OF CRITICAL EVENTS

☐ A quiz clarifies team members' knowledge about federal entitlement programs.

☐ A brainstorming session examines team members ideas about financing strategies.

☐ Team members design strategies for financing their collaborative effort.

TODAY'S OBJECTIVES

☐ To review the federal family support entitlement programs.

☐ To analyze the available information about state and local funding.

☐ To design a financing strategy for a collaborative initiative.

RESOURCES

- ☐ Farrow, Frank and Charles Bruner. Getting to the Bottom Line: State and Community Strategies for Financing Comprehensive Community Service Systems. VA: National Center for Service Integration, September 1993.
- ☐ Leveraging Dollars, Leveraging Change: Refinancing and Restructuring Children's Services in Five Sites. Washington, D.C.: Center for Social Policy, 1991.

HOMEWORK

- ○ Read the two recommended resources.
- ○ Complete the quiz, "How Much Do You Know About Federal Programs for Children and Families?"

FACILITATOR'S NOTES

This unit is for team members who --

- have a specific program initiative in mind; and
- have completed the Implementation Planning unit.

Too often financing enters the discussion prematurely with an emphasis on other, outside resources. This unit emphasizes *refinancing -- a critical examination and redirection of existing resources to produce the results people want.*

This unit may take only a partial day of formal session time. The major work must be done outside the session by collecting data, gathering information, lobbying appropriate managers and officials, and planning strategy.

The Resources listed at the end are limited. Team members will need to do further research focusing on their topic and using available community resource information.

CRITICAL EVENTS

Quiz

Objective:

- To review the family support federal entitlement programs.

Activity:

- As team members begin to gather, distribute the Answers to the quiz (Attachment –14.1 for **Quiz and Answers -- How Much Do You Know About Federal Programs for Children and Families?**).

  After they have checked their answers, ask team members:

  -- How many did you get correct?
  -- What did you learn?
  -- Were you surprised by how much or little you knew?

Financing: What We Do Know

Objective:

- To analyze the available information about state and local funding.

Activity:

- Begin the discussion by reviewing **Financing Strategies overhead/handout** (Attachment 14.2). Be sure team members understand the concepts: let them give examples for each strategy.

- Next, direct team members in a brainstorming session focusing on the key question:

  -- Using the financing strategies we just reviewed, what resources currently exist to finance your collaborative initiative?

- Have them individually list their ideas on cards. Instruct them to write clearly and use large letters. Then, have team members share their ideas with the entire group. Post all the ideas so they can be seen clearly.

Developing a Strategy

Objective:

- To design a financing strategy for a collaborative initiative.

Activity:

- Ask team members to review the ideas and develop some broad categories by which to order the cards. Next, have them place the cards under the appropriate category.

- Once team members agree that all the ideas (or a synthesis of similar ideas) are in place, divide the team into small working groups by category. Their task is to plan the next steps for moving ahead.

  Possible questions:

  -- Do you have all the information you need?
  -- Where can you get the necessary information?
  -- Who should you talk to about your ideas?
  -- What steps do you need to take?
  -- When will you complete these steps?

- When each small group has completed their discussion, each reports its plan to the full group.

  After all the reports, you (or other team members) help them determine what action needs to be completed by whom, and when.

FEEDBACK FORM

IEL needs your feedback on the Facilitator's Guide to keep us on the cutting edge of training collaborative leaders. Please take a few minutes to reflect on this unit, the team members' reactions, and your suggestions for any changes. Thank you for answering the questions below and returning the form with your day's agenda and list of resources used. **Please fax them to Wendy Russell at 202-872-4050.** THANK YOU!

1. Which activities were most effective? Why?

2. What would you do differently, if you repeated this unit? Why?

3. Which resources did team members find useful, relevant? Did you supply additional ones? If so, what?

4. What were the team's key learnings?

5. What were your key learnings?

6. Other comments or suggestions?

RESOURCES

Monographs and Articles:

☐ Contra Costa County: Children's Services Revenue Enhancement. January 1991.*

☐ Leveraging Dollars, Leveraging Change: Refinancing and Restructuring Children's Services in Five Sites. September 1991.*

☐ Refinancing Broward County's Juvenile Justice System. January 1990.*

☐ Refinancing in Kentucky: Expanding the Base for Family Resources and Youth Service Centers. January, 1991.*

☐ Refinancing Tennessee's Children and Family Service. July, 1990.*

☐ Title IV-E Administrative Expenses: A Survey of the Practices of Eleven States, June 1991.*

☐ State Financing Strategies that Promote More Effective Services for Children and Families, A paper prepared by Frank Farrow for a workshop on Effective Services for Young Children at the National Forum on the Future of Children & Familes, November 1, 1990.*

*Center for the Study of Social Policy, 1250 Eye Street, NW, Washington, D.C.20005-3922, (202-371-1565).

☐ Clifford, Richard M. "State Financing of Services under P.L. 99-457, Part H," Carolina Institute for Child and Family Policy, The University of North Carolina at Chapel Hill. March, 1991.

☐ Kirst, Michael W. Financing School-Linked Services. Los Angeles,CA: Center for Research in Education Finance, University of Southern California, Policy Brief # 7, January 1992.

☐ School Finance Reform:The Role of the Courts, CPRE Finance Center: University of Southern California, FB-03-2/92. 213-740-3299.

Books:

- ☐ Odden, Allan R., Ed. Rethinking School Finance: An Agenda for the 1990's. San Francisco: Jossey-Bass Publishers, 1992.
- ☐ Simerly, Robert G. Stategic Financial Management for Conferences, Workshops, and Meetings. San Francisco: Jossey-Bass Publishers, 1993.

Foundation Centers:

- ☐ The Foundation Center is the best resource for "how to" information on grant and proposal writing and "where to go" information. Call their toll free number (1-800-424-9836) for a listing of centers and their publications directory.

Two additional Foundation Center resources:

- ☐ Margolin, Judith B., Ed. User Friendly Guide: Grantseeker's Guide to Resources. ($12.95)
- ☐ Geever, Jane C. and Patricia McNeill. Guide to Proposal Writing, 1993. ($29.95)

ATTACHMENTS

14.1 Quiz and Answers to "How Much Do You Know About Federal Programs for Children and Families?"

14.2 "Financing Strategies" overhead/handout

INTERGOVERNMENTAL/INTERAGENCY POLICY EXCHANGE
THE INSTITUTE FOR EDUCATIONAL LEADERSHIP, INC.

HOW MUCH DO YOU KNOW ABOUT FEDERAL PROGRAMS FOR CHILDREN AND FAMILIES?

TAKE THIS QUIZ AND FIND OUT

1. ***What is Chapter 1?***
    a. A new novel by Stephen King
    b. A computer program for people with writer's block
    c. A federal program to give a boost to educationally disadvantaged children
    d. Something that comes before Chapter 2

2. ***Which of the following federal programs has the largest budget?***
    a. Food Stamps
    b. AFDC – Aid to Families with Dependent Children
    c. WIC -- Special Supplemental Food Program for Women, Infants & Children
    d. Head Start

3. ***Which statement is true about the Joint Committee on the Organization of Congress?***
    a. They have already brought some sense to the crazy-quilt of federal programs for children and families that cut across a dozen committees and subcommittees.
    b. Sure, they have a great opportunity, but they won't have the guts to tackle the tough issues of committee jurisdiction.
    c. No one really knows yet the degree to which the Committee will address coordinating programs affecting children and families.

4. ***What do the letters "JTPA" stand for?***
    a. An antibiotic the FDA just approved to treat drug-resistent tuberculosis
    b. The Job Training Partnership Act
    c. The Juvenile Treatment and Prevention Act

5. ***What percentage of people eligible for WIC (Special Supplemental Food Program for Women, Infants and Children) actually get food help through this program?***
    a. 100%
    b. 73%
    c. 56%
    d. 29%
    e. 8%

6. ***How about Head Start? What percentage of poor three-to-five year olds actually participate in a Head Start program?***
    a. 100%
    b. 73%
    c. 56%
    d. 29%
    e. 8%

7. ***Why does the IEL Policy Exchange compare collaboration across committees, agencies and disciplines to "dancing with an octopus?"***
    a. Because each agency or program is like a tentacle of an octopus, connected but often not coordinated.
    b. Because the old ways of moving no longer work: you have to learn new steps to dance with a creature that has more than two "feet."
    c. Because you can't move ahead if each tentacle goes off in its own direction.
    d. All of the above
    e. None of the above

8. ***How many low-income households get a rental subsidy through the Section 8 Leased Housing Assistance Program?***
    a. 1 million
    b. 4.7 million
    c. 15.7 million
    d. 25.3 million

9. How poor is poor? For a family of four, what annual income is considered "poverty" under the guidelines of the federal Office of Management and Budget (OMB)?

a. $50,000
b. $24,680
c. $13,950
d. $6,250

10. What is the most that a family of three (a mother and two children) living in Mississippi could receive each month as an AFDC payment in 1992?

a. $120 per month, about $4 per day
b. $180 per month, about $6 per day
c. $370 per month, about $12 per day
d. $660 per month, about $22 per day
e. $1,200 per month, about $40 per day

11. What is the largest federally funded child care program?

a. The Social Services Block Grant program, which goes under the alias of "Title XX"
b. The Child and Dependent Care Tax Credit
c. The Child Care and Development Block Grant
d. A special nanny program run by the INS

12. What is EPSDT?

a. The name of a new rap group
b. A pesticide that was recently banned
c. A diet plan where you eat chocolate seven times a day
d. The part of Medicaid that applies to children under age 21

13. On average, how much of the tab does the federal government pick up for Medicaid and AFDC (Aid to Families with Dependent Children)?

a. 100%
b. 80-87% -- the states pay the rest
c. 50-57% -- the states pay the rest
d. 20-27% -- the states pay the rest
e. 0% -- the states pay it all

14. True or false? Two-thirds of Medicaid **recipients** ***are AFDC children and their families, but two-thirds of Medicaid*** **costs** ***are for the aged, blind and disabled.***

a. True

b. False

15. What is the strangest thing about the Earned Income Tax Credit (EITC)?

a. You can only get an EITC if you earn an annual income of up to $22,370.

b. You can get a check from the IRS even if you don't owe any taxes.

c. Even though the instruction booklet is 32 pages long, 13.8 million families got EITC's in 1992.

d. It could be worth up to $2,210.

e. All of the above -- *There are a lot of strange things about the EITC.*

f. None of the above -- *There is nothing strange about the EITC.*

16. Which of the following statement(s) are true regarding how the value of a car is counted in determining eligibility for federal programs?

a. Under Food Stamps, there is a *$4,500 market value* limit on the value of a car.

b. Under AFDC, there is a *$1,500 equity value* limit on the value of a car.

c. Under Medicaid, the limit on the value of a car varies from a *$1,500 equity value limit to excluding the value of the car altogether.*

d. All of the above are true.

e. None of the above are true.

17. The Institute for Educational Leadership's Policy Exchange is:

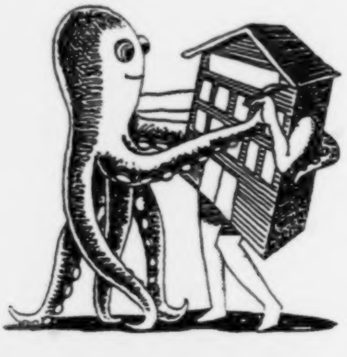
a. A CIA front

b. A clearinghouse for recycled policies

c. A nonpartisan effort to promote policies that foster collaboration and coordination on issues affecting children, families and communities

d. All of the above

e. None of the above



April 1, 1993

INTERGOVERNMENTAL/INTERAGENCY POLICY EXCHANGE
THE INSTITUTE FOR EDUCATIONAL LEADERSHIP, INC.

ANSWERS

HOW MUCH DO YOU KNOW ABOUT FEDERAL PROGRAMS FOR CHILDREN AND FAMILIES?

1. *c.* Chapter 1 is a federal program to give a boost to educationally disadvantaged children. Chapter 1 funds ($6.7 billion in 1993) can be used for services (such as supplemental instruction in reading and math) in pre-schools as well as elementary and secondary schools.

2. *a.* Food Stamps has the largest federal appropriation, $28.1 in FY 1993. The AFDC budget is second largest, with $14.9 billion in federal funds and $11.5 billion in state funds. The WIC appropriation is $2.9 billion and the Head Start appropriation is $2.8 billion.

3. *c.* No one really knows yet the degree to which the Joint Committee on the Organization of Congress will address coordination of programs affecting children and families. Time will tell. . . .

4. *b.* "JTPA" stands for "The Job Training Partnership Act," a $4.2 billion federal program that provides training, education, help finding a job, counseling and other services.

5. *c.* Fifty-six percent of the people eligible for WIC actually got food help through this program in 1991.

   Source: Committee on Ways and Means, U.S. House of Representatives, *Overview of Entitlement Programs: 1992 Green Book*, page 1688.

6. *d.* Twenty-nine percent of three-to-five year olds poor enough to qualify for the program participated in Head Start in 1992. Although final figures are not available, this percentage is expected to increase to 30-35 percent in 1993.

   Source: Anne Stewart, Congressional Research Service, "Head Start: A Fact Sheet," *CRS Report for Congress*, January 22, 1993, page 2.

7. *d.* All of the first three statements are why the IEL Policy Exchange compares collaboration across committees, agencies and disciplines to "dancing with an octopus":

    Each agency or program is like a tentacle of an octopus, connected but often not coordinated,

    The old ways of moving no longer work: you have to learn new steps to dance with a creature that has more than two "feet," and

    You can't move ahead if each tentacle goes off in its own direction.

8. *b.* In 1992, 4.7 million households received rental subsidies under the Section 8 program.

    Source: Committee on Ways and Means, U.S. House of Representatives, *Overview of Entitlement Programs: The 1992 Green Book*, page 1678.

9. *c.* $13,950 is the official OMB poverty income for a family of four. Some programs, such as Food Stamps, are available to any family that falls below this poverty level. For other programs, the income cutoffs are higher. For example, under the WIC program, women with income up to 185 percent of the poverty level ($13,950 X 1.85 = $25,808 for a family of four) are eligible for food assistance and nutritional screening.

10. *a.* The most that a family of three (a mother and two children) living in Mississippi could receive each month as an AFDC payment in 1992 was $120 per month, about $4 per day. Across all states, the median monthly payment for a family of three was $370, about $12 per day.

    Source: Committee on Ways and Means, U.S. House of Representatives, *Overview of Entitlement Programs: 1992 Green Book*, page 638.

11. *b.* The Child and Dependent Care Tax Credit is the largest federally funded child care program, with an expected cost of $2.7 billion in 1993. *Unlike other federally supported child care programs, this program only benefits people who make enough money to pay taxes: it doesn't help people who are very poor.*

    The Social Services Block Grant program, also called Title XX, has a 1993 appropriation of $2.8 billion, but only part of this goes for child care.

    The Child Care and Development Block Grant is much smaller, with a 1993 appropriation of less than a billion dollars.

12. *d.* EPSDT is the part of Medicaid that applies to children under age 21. EPSDT stands for "early and periodic screening, diagnosis and treatment." "EPSDT Services" or "screens" include a comprehensive health and developmental history, a comprehensive unclothed physical examination, appropriate immunizations, laboratory tests and health education.

13. *c.* On average, the federal government pays 50 to 57 percent of the cost of Medicaid and AFDC. The states pay the other 43-50 percent. Specifically:

    The Congressional Budget Office estimates that the federal government will pay 57 percent and states will pay 43 percent of the $140 billion cost of Medicaid in 1993.

    Federal funds pay an average of 54 percent of benefit costs and 50 percent of administrative costs for AFDC.

    Overall, the federal share is largest in poor states and smallest in more wealthy states.

14. *a.* True. Two-thirds (68 percent) of Medicaid *recipients* were AFDC children and their families, but two-thirds (71 percent) of Medicaid *costs* were for the aged, blind and disabled in 1990.

    Source: Committee on Ways and Means, U.S. House of Representatives, *Overview of Entitlement Programs: 1992 Green Book*, pages 1656 and 1658.

15. *e.* All of the first four statements are true about the Earned Income Tax Credit:

    You can only get an EITC if you have an annual income of less than $22,371.

    You can get a check from the IRS even if you don't owe any taxes.

    Even though the instruction booklet is 32 pages long, 13.8 million families got EITC's in 1992.

    It could be worth up to $2,210.

16. *d.* All of these statements are true regarding how the value of a car is counted in determining eligibility:

    Under Food Stamps, there is a $4,500 market value limit on the value of a car.

    Under AFDC, there is a $1,500 equity value limit on the value of a car.

    Under Medicaid, the limit on the value of a car varies from a $1,500 equity value limit to excluding the value of the car altogether.

    Source: Sarah Shuptrine, "Reforming Medicaid Eligibility Rules" in *The Safety Net*, Summer 1991, page 6.

17. *c.* The IEL Policy Exchange promotes policy initiatives that foster collaboration and coordination on issues affecting children, families and communities. Activities of the Policy Exchange include:

National seminars and site visits for key federal policy makers,

Publications that bridge agency and disciplinary boundaries, and

State-level activities for policy makers.

* * *

SCORING THIS QUIZ

15-17 = You are a certifiable policy wonk.

11-14 = You are a wonk only on Tuesdays and Thursdays.

6-10 = You have wonk potential.

0-5 = You are not a wonk.

The Intergovernmental/Interagency

Policy Exchange

April 1, 1993

Attachment 14.2

FINANCING STRATEGIES

- POOLING FUNDS ACROSS AGENCY LINES
- DELEGATING GREATER AUTHORITY TO COMMUNITY POLICY MAKING & ADMINISTRATIVE SYSTEMS
- REDEPLOYING EXISTING FUNDS FROM HIGHER COST SERVICES TOWARDS LESSER COST ALTERNATIVES
- REFINANCING THROUGH GREATER USE OF FEDERAL ENTITLEMENT PROGRAMS
- LEVERAGING PRIVATE SECTOR AND FOUNDATION FUNDS
- INVESTING NEW FUNDS INTO PREVENTION-ORIENTED SERVICES WITH CLEAR OUTCOME ACCOUNTABILITY

Bruner, Charles. Getting to the Bottom Line: State & Community Strategies for Financing Comprehensive Community Service Systems. National Center for Service Integration, 1993.

PURPOSES OF NEW FINANCE STRATEGIES

- REFLECT & REINFORCE PRINCIPLES & CHARACTERISTICS OF NEW SERVICE DELIVERY SYSTEMS
- INCORPORATE MULTIPLE FUNDING SOURCES & CUT ACROSS TRADITIONALLY SEPARATE SERVICE DOMAINS
- MAKE USE OF DOLLARS ALREADY BEING EXPENDED IN THE SERVICE SYSTEM
- REQUIRE PARALLEL CHANGE IN SERVICE GOVERNANCE & SERVICE DELIVERY TECHNOLOGIES

Bruner, Charles. Getting to the Bottom Line: State & Community Strategies for Financing Comprehensive Community Service Systems. National Center for Service Integration, 1993.

SELLING CHANGE

COLLABORATION
COMMUNITY

Persuading others to buy into the collaborative building process.

BEST COPY AVAILABLE

Learn how to market. Your job is to gain support from those who can meet your needs as well as neutralize opposition from those who fear they have something to lose. -- Judy Chynoweth

GOAL

Persuading others to buy into the collaborative building process.

OVERVIEW OF CRITICAL EVENTS

- ☐ Team members strategically think about their target audience by revisiting stakeholder indentification and reviewing public forum planning.
- ☐ Press releases -- a key communication strategy -- are practiced and refined by team members.
- ☐ Two activities, a two-minute presentation and an "ambush" interview help team members practice vital public speaking skills.
- ☐ Team members plan a communication strategy by first reviewing, then applying social marketing techniques.

TODAY'S OBJECTIVES

- ☐ To acquaint team members with collaborative marketing concepts.
- ☐ To revisit stakeholder identification.
- ☐ To review public forum planning strategies.
- ☐ To practice writing a press release.
- ☐ To develop a communication strategy for your collaborative initiative.

RESOURCES

- ☐ Armstrong, Katherine "The North Richmond Story," Strategies for Distressed Neighborhoods. Sacramento, CA: Center for Integrated Services for Families and Neighborhoods, January 1994, pp.31-47.
- ☐ Astroth, Kirk A. "More Than Good Intentions: A Developmental Model for Building Strategic Alliances," Community Education Journal. Vol.XX,No.1, Fall 1992, pp.9-12.
- ☐ Ghiselin, Bernie. Forging Consensus: Building a Dialogue Among Diverse Leaders. Greensboro, NC: Center for Creative Leadership, 1990, Report No. 140.
- ☐ Potapchuk, William R. "New Approaches To Citizen Participation: Building Consent," National Civic Review. Spring 1991, pp.158-168.
- ☐ Walsh, Diana Chapman, et al. "Social Marketing for Public Health," Health Affairs. Summer 1993, pp. 104-119.

HOMEWORK

- ○ Complete assigned reading.
- ○ Begin thinking about how you would "sell" your collaborative initiative by writing a press release. Answer the questions provided on the handout. Then list where the announcement should be sent.
- ○ Complete other activities as assigned.

FACILITATOR'S NOTES

This unit, like the 2 preceding, will be useful only if the team has a clearly identified collaborative initiative and some knowledge about the financial resources available. The goal now is to determine how they will build support for and "sell" their ideas for making change.

This unit will help team members:

- identify and include stakeholders (audience) -- both supporters and the opposition;
- determine the message; and
- decide how best to deliver that message.

A review of the "Stakeholder Audit" from *Community Assessment* and "Networking" from *Connecting With People* will be very useful. If these activities have not been done previously, they need to be incorporated into this unit.

Some of the activities outlined below can be completed or practiced during a session. Writing a press release (Attachment 15.5) can be completed as homework to get team members thinking about what to say about the initiative. Others, however, will require separate planning meetings or groups working on different activities.

The suggested activities offer some skill building, but are primarily focused on getting the team to think through the important considerations of "selling" their initiative -- what they want to say and who they need to help them. A true communications strategy will require that the team identify and recruit partners with marketing expertise. There are also many more resources available on this topic at public and college libraries. Encourage team members to research specific issues. The resources listed here are only a beginning.

Collaboratives need to market their visions. -- Together We Can.

CRITICAL EVENTS

Collaborative Marketing

Objective:

- To acquaint team members with marketing concepts.

Activity:

❖ Begin by sharing the following with team members --

To this point your team has been a small group, only somewhat representative of the community. In order to succeed with the collaborative initiative and move it forward, you must elicit the support of many more stakeholders who can help you. But, by informing and including "others" you must be prepared for challenges and even some opposition to your ideas and plans. Therefore, the strategies you choose to inform and market will be critical. It will take careful planning, time, work and resources.

The technologies and skills necessary to engage the interest of the community and to shape an agenda that reflects your collaborative's goals and objectives already exists in the corporate and political worlds. The nonprofit and public-service sectors, especially those supported by public monies, have not had to develop constituencies or meet the demands of consumers. (Together We Can, p.86)

Judy Chynoweth (p.79) describes a collaborative in Galveston that spent the greater part of 2 years gaining support for their collaborative initiative by pursuing many different marketing strategies. Here are a few (Attachment 15.1):

- Cultivated the media (major paper, radio talk shows)
- Held well-publicized community events (the public release of their plan with community leadership; speaker luncheons)
- Published a snappy brochure of their action plan
- Presented their plan at meetings of selected community power brokers (the business roundtable)

- Developed one-on-one strategies for key individuals (CEOs of employers also on community boards)
- Held a community summit for all key community stakeholders

Each of these events required skills or experience in using the media or in developing social marketing campaigns. A key step is for each of you to think about your own skills and your networks to identify partners with specific skills in advertising; public relations; and radio, television or print media.

Note: You may want to stop here and have team members complete a networking exercise. See "Roles We Play," p. 9 in *Connecting With People.*

One final point to keep in mind, marketing a service is different from marketing a product. Many services, especially community and social services are intangible in that they cannot be touched. They are consumed but not possessed. They are difficult to define or grasp mentally. Thus, the need to support them can be misunderstood or threatening, particularly to community members who are not regular consumers. (Ref: L. Berry, "Services Marketing is Different.")

To close, review **Focusing Community Resources overhead/ handout** (Attachment 15.2).

◆ **Building a Community Constituency**

Objectives:

- To revisit stakeholder identification.
- To review public forum planning strategies.

Activities:

❖ Review or do the Stakeholder Audit (p.9, *Mapping Community Capacity*). Focus on the differences between what they want and what we want. Are there other groups/individuals that need to be added to the list now?

- Fill in the circles in **Many Views of the Same Problem** (Attachment 15.3) to help you see the issues from the stakeholders perspective.

  This also might be a useful exercise for a focus group of stakeholders around the issue(s).

- One way to both identify stakeholders and inform them about and buy into your initiative is to invite them to a public forum, workshop or summit. The Arlington County, VA CLP team held an Early Childhood Summit which was attended by over 50 diverse stakeholders. The summit's brainstorming activities helped the Arlington CLP team refine and gain support for their early childhood initiative.

  Review **Considerations for Holding Public Workshops** (Attachment 15.4). Next, determine if a public meeting fits into your communications strategy.

◆ **Press Release**

Objective:

- To practice writing a press release.

Activities:

- Working in small groups, ask team members to share, then refine their press releases which they completed as homework (Attachment 15.5). Encourage the groups to reach a consensus about what they want to say about the initiative. Let them write their releases on newsprint to share with the entire team.

- Then ask them to think about the key audience they would like to reach with their release. What strategies/channels would they use?

- Have each group present their releases and identify their key audiences.

- Once all the presentations are made, discuss the following questions:
    - Among the groups what is similar and what is different about how each of you have described the initiative?
    - Have you captured the key points that you want to be sure to say in any communication about the initiative?
    - Are there other audiences you need to consider?
    - Would you say different things for those audiences?
    - Can 25 words sum up what your initiative does?

Going Public

Objective:

- To practice public speaking techniques.

Activities:

If team members need practice preparing and delivering public announcements, this is a good skill building exercise. You can use one or both of the techniques. A useful resource is How To Make Presentations That Teach and Transform.

- Ask team members to prepare a 2 minute presentation about their collaborative initiative. They must define their audience or setting.

- Video tape the presentations. Once all have been delivered, play each one back and have the entire group critique the presentation.

- Another approach is to tell team members a reporter is waiting outside to ask them questions about the initiative. Outside the room have two people waiting, one holding a video camera and the other a microphone.

  As each team member exits the room, the reporter confronts them with a question. The question needs to be related to the team's initiative. It can have either a positive or negative slant. It needs to be the same question for each person.

- After all the team members have met the reporter, review the clips and critique the performances. Questions to consider:
    - What happened during the "ambush" interview?
    - What was best about your response? What could have been better?
    - How could you prepare for future interviews?

For a collaborative's vision to have an impact, partners need to present it so that the community hears a clear message and sees its value. – Together We Can

♦ Selling your Product - Social Marketing

Objective:

- To develop a communication strategy for your collaborative initiative.

Activities:

- To introduce the concepts of a **communication strategy** and **social marketing**, review the overheads/handouts with team members (Attachment 15.6 and 15.7).
- Next, hand out and review the **Stages of Communication Process** (Attachment 15.8). Discuss each stage to ensure that team members understand the process and have thought through some examples or applications relevant to their initiative.
- Finally, determine with the team how they will proceed in using or implementing the stages outlined in this process.

FEEDBACK FORM

IEL needs your feedback on the Facilitator's Guide to keep us on the cutting edge of training collaborative leaders. Please take a few minutes to reflect on this unit, the team members' reactions, and your suggestions for any changes. Thank you for answering the questions below and returning the form with your day's agenda and list of resources used. **Please fax them to Wendy Russell at 202-872-4050.** THANK YOU!

1. Which activities were most effective? Why?

2. What would you do differently, if you repeated this unit? Why?

3. Which resources did team members find useful, relevant? Did you supply additional ones? If so, what?

4. What were the team's key learnings?

5. What were your key learnings?

6. Other comments or suggestions?

FACILITATOR'S GUIDE TO RESOURCES

The following can be found in libraries or by calling the publisher:

- ☐ Armstrong, Katherine "The North Richmond Story," Strategies for Distressed Neighborhoods. Sacramento, CA: Center for Integrated Services for Families and Neighborhoods, January 1994, pp.31-47. (916-446-9238)
- ☐ Astroth, Kirk A. "More Than Good Intentions: A Developmental Model for Building Strategic Alliances," Community Education Journal. Vol.XX,No.1, Fall 1992, pp.9-12. (703-683-6232)
- ☐ Ghiselin, Bernie. Forging Consensus: Building a Dialogue Among Diverse Leaders. Greensboro, NC: Center for Creative Leadership, 1990, Report No. 140. (919-288-7210)
- ☐ Potapchuk, William R. "New Approaches To Citizen Participation: Building Consent," National Civic Review. Spring 1991, pp.158-168. (303-571-4343)
- ☐ Walsh, Diana Chapman, et al. "Social Marketing for Public Health," Health Affairs. Summer 1993, pp. 104-119.

Other resources cited:

- ☐ Arkin, Elaine Bratic. Making Health Communications Programs Work. National Cancer Institute, NIH Publication No. 89-1493, April 1989. (301-496-6792).
- ☐ Berry, Leonard L. "Services Marketing Is Different," Business Magazine. May-June, 1981.
- ☐ Chynoweth, Judith K. A Guide to Community-based, Collaborative Strategic Planning. Washington, D.C.: Council of Governor's Policy Advisors (CGPA), 1994. (202-624-5386)
- ☐ Melaville, Atelia I. & Blank, Martin J. Together We Can: A Guide for Crafting a Profamily System of Education and Human Services, Washington, D.C.: U.S. Government Printing Office, April 1993. (202--219-2120)

Recommended resources to get you started:

- ☐ Connors, Tracey D. The Nonprofit Organization Handbook. New York: McGraw-Hill, Inc. 1980, *Section 5 - The Practice of Public Relations in the Nonprofit Organization.*
- ☐ Fallon, William K. ed. AMA Management Handbook. Second Edition, New York: AMACOM (American Management Association), 1983, *Chapter 6 - Marketing.*
- ☐ Garmston, Robert J. and Bruce M. Wellman. How to Make Presentations that Teach and Transform. Alexandria, VA: Association for Supervision and Curriculum Development, 1992.
- ☐ Gordon, Robbie. We Interrupt This Program.... Amherst, MA: Center for Organizational and Community Development, University of Massachusetts. (413-545-2038)
- ☐ Kotler, P. and A.R. Andreasen. Strategic Marketing for Non-profit Organizations. Fourth Edition, Englewood Cliffs, NJ: Prentice-Hall, 1987.
- ☐ Kotler, P. and E.L. Roberto. Social Marketing: Strategies for Changing Public Behavior. New York, NY: The Free Press, 1989.
- ☐ Maddalena, Lucille A. A Communications Manual for Nonprofit Organizations. New York: AMACOM (American Management Associations), 1981.
- ☐ McGuire, William. "Theoretical Foundations of Campaigns," in Rice, R.E. and Paisley W.J. (Eds.) Public Communications Campaigns. Newbury Park, CA: Sage Publications, 1981, pp.41-70.
- ☐ Ries, A. and J. Trout. Bottom-Up Marketing. U.S.A.:McGraw-Hill, 1989.
- ☐ Tagliere, Daniel A. How to Meet, Think and Work to Consensus. San Diego, CA: Pfeiffer & Co., 1992.
- ☐ Wilder, Claudyne. The Presentations Kit: 10 Steps for Selling Your Ideas! New York: John Wiley & Sons, Inc. 1990.

ATTACHMENTS

15.1 Collaborative Marketing Strategy

15.2 Focusing Community Resources

15.3 Many Views of the Same Problem

15.4 Considerations for Holding Public Workshops

15.5 Writing a Press Release

15.6 Communication Strategy

15.7 Social Marketing

15.8 Stages of Communication Process

COLLABORATIVE MARKETING STRATEGIES

- Cultivate the media (major paper, radio talk shows)
- Hold well-publicized community events (the public release of the plan with community leadership; speaker luncheons)
- Publish a snappy brochure of the action plan
- Present the plan at meetings of selected community power brokers (the business roundtable)
- Develop one-on-one strategies for key individuals (CEOs of employers also on community boards)
- Hold a community summit for all key community stakeholders

Source: A Guide to Community-based, Collaborative Strategic Planning

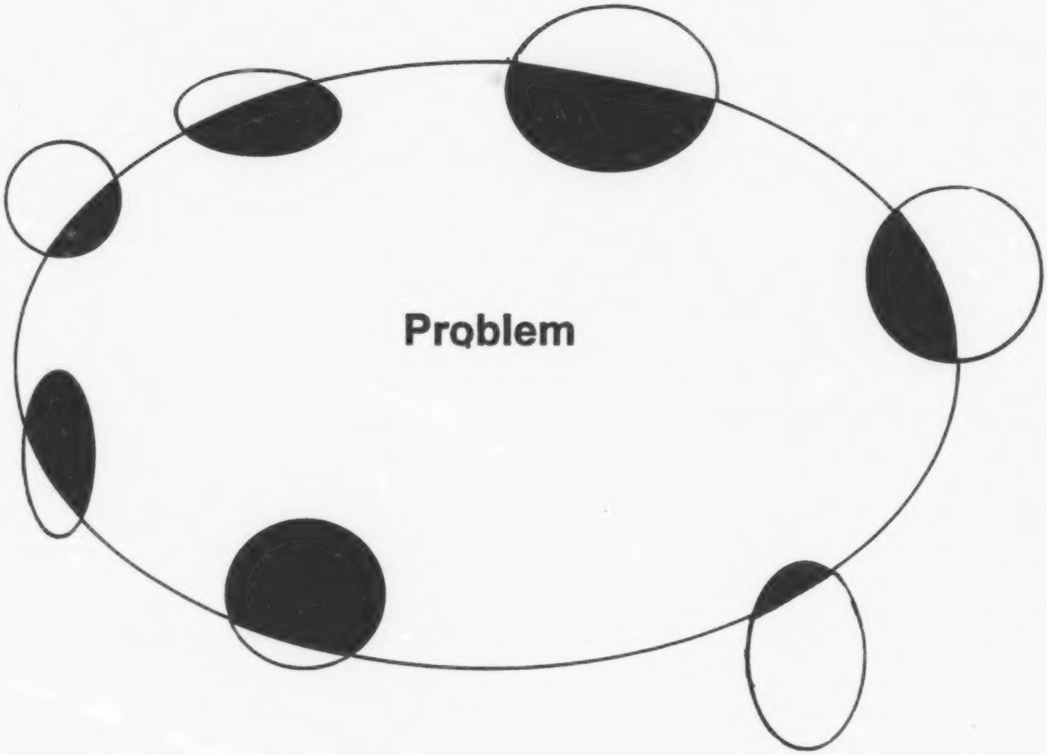
Attachment 15.2

FOCUSING COMMUNITY RESOURCES

- **Issue Definition**
- **Stakeholder Identification**
- **Communication Strategy**
- **Mapping Community Resources**
- **Coalition Building**
- **Action Planning**

Attachment 15.3

Many Views of the Same Problem



○ **Community Groups**

● **Their perspective of the problem**

CONSIDERATIONS FOR PUBLIC WORKSHOPS

WHO WILL COME?

Key participants and groups that are invited to the workshop must, first, be notified and then contacted in advance of the meeting. Communication methods will vary with the group. Thus, a communication strategy should be devised so that a variety of methods are used to ensure a good turnout of all the important individuals and groups (mailings, use of media, personal phone calls).

IS THE MEETING ACCESSIBLE?

Meetings need to be held at convenient locations. Citizens often will not cross neighborhood boundaries where differences in income, race, and background are great. The drawing area of a meeting location needs careful consideration. Schools and churches are neutral territory and provide spaces where an interactive format can be used.

CAN ALL WHO ATTEND PARTICIPATE FULLY?

All those who attend come for a purpose. Severely reduced participation can be caused by format, individual or group dominance, or intimidating environment. For this reason, the use of small group participation methods such of discussion, brainstorming, or action planning are essential for insuring participation by all.

WRITING A PRESS RELEASE

Write a sample press release about your initiative by reponding to the following questions:

? Who is your collaborative?

? What are you trying to accomplish?

? What are your goals/philosophy/purposes? How do you intend to accomplish them?

? What is the project/activity you are currently working on?

? Why this particular project? How? Where? When?

Source: Partnerships for Community Development

COMMUNICATION STRATEGY

Communication programs can be designed to inform, influence, and motivate institutional or public audiences. Communication can:

- ☐ increase awareness of an issue, problem or solution
- ☐ affect attitudes to create support for individual or collective action
- ☐ demonstrate or illustrate skills
- ☐ increase demand for services
- ☐ remind about or reinforce knowledge, attitudes or behavior

Communications programs cannot:

- ☐ compensate for lack of services
- ☐ produce behavior changes without support
- ☐ be equally effective in addressing all issues or relaying all messages

Source: Making Health Communication Programs Work

SOCIAL MARKETING

The consumer (target audience) should be the central focus for planning and conducting a program. The program's components focus on the 4 P's:

☐ *price* - what the consumer must give up in order to receive the program's benefits. These "costs" may be intangible (changes in beliefs) or tangible (money, time)

☐ *product* - what the program is trying to change within the target audience

☐ *promotion* - how the exchange is communicated

☐ *place* - what channels the program uses to reach the target audience (mass media, community, interpersonal)

Source: Making Health Communication Programs Work

THE COMMUNICATION PROCESS

STAGE 1
Planning & Strategy Selection

The planning stage of a program provides the foundation for the entire process. Careful assessment of a problem in the beginning can reduce the need for costly midcourse corrections.

Key Issues

- ☐ What is already known about the problem? (Analyze existing data.)
- ☐ What new kinds of information will be needed before planning the program? (Generate new data.)
- ☐ Who is the target audience? What is known about them?
- ☐ What is planned to solve or lessen the problem? (goals)
- ☐ What *measurable* objective can be established to define success?
- ☐ How can progress be measured? (evaluation strategies)
- ☐ What should the target audience be told?

STAGE 2
Selecting Channels & Materials

The decisions made in Stage 1 will guide you in selecting the appropriate communication channel(s) and producing effective materials. Without clear objectives and a knowledge of your target audience, you risk producing materials that are inappropriate for the target audience or the issue being addressed.

Key Issues

- ☐ Are there any existing materials which could be adapted for the program?
- ☐ Which channels are most appropriate for reaching the target audience? (mass media, face-to-face)
- ☐ What materials formats will best suit the channels and the messages? (booklets, pamphlets, videotapes)

STAGE 3

Developing Materials & Pretesting

In stages 1 and 2 most program planning is completed; this planning provides the basis for developing messages and materials. Often several different concepts will be developed and tested on target audiences. Feedback from the intended audience is critical in stage 3.

Key Issues

- ☐ What are the different ways that the message can be presented?
- ☐ How does the target audience react to the message concept(s)?
- ☐ Does the audience:
  - ☐ Understand the message?
  - ☐ Recall it?
  - ☐ Accept its importance?
  - ☐ Agree with the value of the solution?
- ☐ How does the audience respond to the message format?
- ☐ Based on responses from the target audience, do changes need to be made in the message or format?
- ☐ How could the message be promoted, the materials distributed, and progress tracked?

STAGE 4

Implementation

The fully developed program is introduced to the target audience, promotion and distribution begin through all channels. Program components are periodically reviewed and revised as needed. Audience exposure and reaction are tracked to alter if necessary.

Key Issues

- ☐ Is the message making it through the intended communication channels?
- ☐ Is the target audience paying attention, and reacting?
- ☐ Do any existing channels need to be replaced, or new channels added?
- ☐ Which aspects of the program are having the strongest effect?
- ☐ Do changes need to be made to improve program effect?

STAGE 5
Assessing Effectiveness

The program should be assessed by analyzing the results of measurements planned in stage 1 and used throughout the program's lifespan.

Key Issues

☐ Were the program objectives met?
☐ Were the changes which took place the result of the program, other factors or a combination of both?
☐ How well was each stage of program planning, implementation and assessment handled?

STAGE 6
Feedback to Refine Program

At each stage, gather useful information about the audience, the message, the channels of communication and the program's intended effect. All of this information helps prepare for a new cycle of program development. The more information that can be reviewed at the end of the first program phase, the more likely it is that these questions can be answered.

☐ Why did the program work, or not work?
☐ Are there program changes or improvements that should be made to increase the likelihood of success or to address change in the audience, or problem, or other situations?
☐ Are there lessons learned that could help make future programs more successful?

Source: Making Health Communications Programs Work

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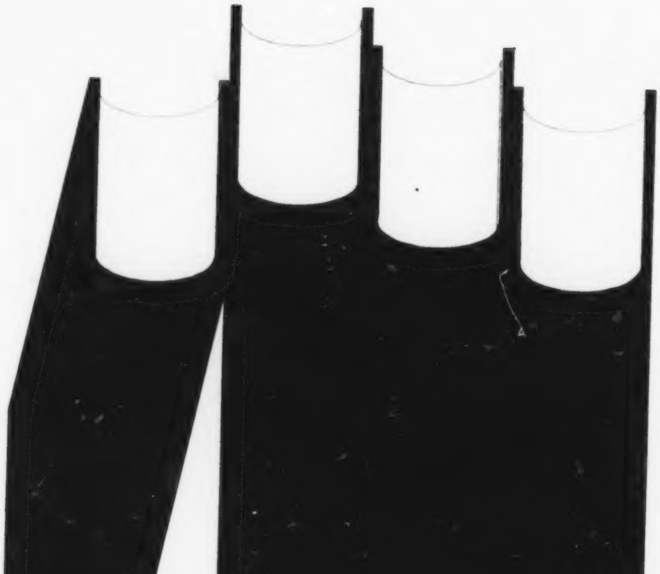

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